



**U.S. Army Research Institute  
for the Behavioral and Social Sciences**

**Study Note 96-01**

**Contract for Manpower and Personnel  
Research and Studies for the U.S.  
Army Research Institute for the  
Behavioral and Social Sciences  
  
Standard Operating Procedures**

**Human Resources Research Organization**

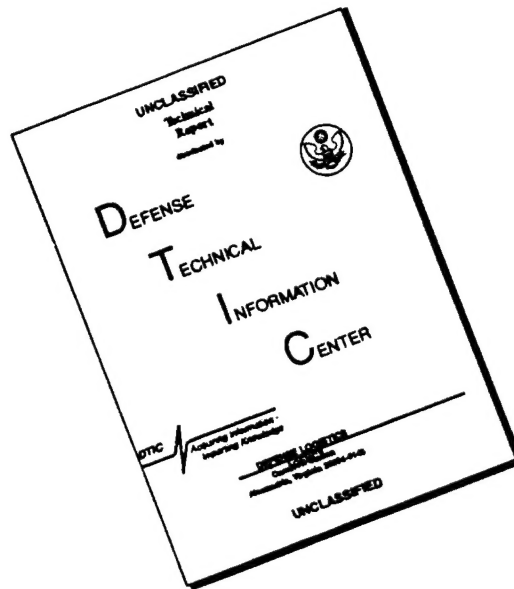
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**October 1995**

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**A Field Operating Agency Under the Jurisdiction  
of the Deputy Chief of Staff for Personnel**

**EDGAR M. JOHNSON  
Director**

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Research accomplished under contract  
for the Department of the Army

Human Resources Research Organization

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Studies for the U.S. Army Research Institute  
for the Behavioral and Social Sciences**

**Standard Operating Procedures**

**Human Resources Research Organization**

**Organization and Personnel Resources Research Unit  
Paul A. Gade, Chief**

U.S. Army Research Institute for the Behavioral and Social Sciences  
5001 Eisenhower Avenue, Alexandria, Virginia 22333-5600

Office, Deputy Chief of Staff for Personnel  
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**CONTRACT FOR MANPOWER AND PERSONNEL RESEARCH AND STUDIES  
(COMPRS)  
FOR THE U.S. ARMY RESEARCH INSTITUTE (ARI)  
OPTION PERIOD - STANDARD OPERATING PROCEDURES (SOP)**

**Table of Contents**

	<u>Page</u>
Background .....	1
Program Types .....	1
COMPRS Administration Overview .....	2
Contractor Consortium .....	2
Overview of Manual .....	4
Section 1: Starting a New Project Through COMPRS .....	4
Section 2: Issuing the Statement of Tasks .....	5
Section 3: Preparing the Request for Delivery Order .....	8
Contents .....	8
Costing .....	9
Review Drafts .....	10
Submission to DSS-W .....	10
Section 4: Delivery Order Contract .....	11
Terms of the Contract .....	11
Contract Modifications .....	11
Section 5: Deliverables and Payments .....	12
Format Requirements .....	12
Submission to ARI .....	14
Section 6: A Review of Roles and Responsibilities .....	14
HumRRO COMPRS Program Manager .....	16
HumRRO COMPRS Administrative Assistant .....	17
HumRRO Contracts Manager .....	17
ARI COMPRS Contracting Officer's Representative .....	17
Delivery Order Project Directors .....	18
Delivery Order Contracting Officer's Representatives .....	18

## Table of Contents (Cont.)

	<u>Page</u>
<u>Appendixes</u>	
A - Sample Delivery Order Summary from COMPRS Annual Report .....	A-1
B - COMPRS Program Descriptions .....	B-1
C - Sample Statement of Tasks (SOT) .....	C-1
D - Sample Request for Delivery Order (RFDO) .....	D-1
E - COMPRS Labor Categories .....	E-1
F - Sample Delivery Order Award .....	F-1
G - DO Contract Clauses Incorporated from Master Contract .....	G-1
H - Sample Monthly Report Deliverable Package .....	H-1
I - Sample Cover Letter Accompanying Final Project Deliverable .....	I-1
J - Standard Form 298 (Blank and Sample Completed Form) .....	J-1

## List of Figures and Tables

### Figures

1 Genesis of a COMPRS Delivery Order Contract .....	3
2 Deliverable Submission Process .....	15

### Tables

1 Key COMPRS Administrative Personnel .....	16
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**CONTRACT FOR MANPOWER AND PERSONNEL RESEARCH AND STUDIES  
(COMPRS)  
FOR THE U.S. ARMY RESEARCH INSTITUTE (ARI)  
OPTION PERIOD - STANDARD OPERATING PROCEDURES (SOP)**

**Background**

The Human Resources Research Organization (HumRRO) has a contract with the U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) to provide non-personal, short- and medium-term scientific and technical support services in the solution of ARI problems related to manpower and personnel. The program is referred to as the *Contract for Manpower and Personnel Research and Studies (COMPRS)*.

HumRRO administers the COMPRS for ARI under firm fixed-price contracts known as delivery orders (DOs). The COMPRS Master Contract was awarded in June, 1993. The base period spanned two years and the option period of the contract has been exercised. The option period is for three years (July, 1995 through June, 1998). During the base period, 32 delivery orders totaling \$4,793,762 were awarded through COMPRS. An annual report is produced each year to summarize the research and products associated with each COMPRS DO. An example of a DO summary from the last annual report is shown in Appendix A.

**Program Types**

There are three programs under COMPRS which are designed to meet different government needs. They are summarized below and described in detail in Appendix B:

- **Quick Reaction (QR) Program** - Intended to provide ARI responsive, short-term research or studies and analysis dealing with manpower and personnel issues for which ARI in-house capability is not available. Each of the QR Program DOs are to be completed within a period of time specified in the DO, with the maximum allowable completion normally being within 12 months of the start date of the DO.
- **Attitude and Opinion Survey (AOS) Program** - Intended to give ARI the ability to conduct surveys to provide information for accession and force management decision-making. Each of the AOS Program DOs are to be completed within a period of time specified in the DO, with the maximum allowable completion normally being within 12 months of the start date of the DO or 18 months if OMB approval of data collections involving civilians is required.

- **Medium-Term (MT) Program** - Intended to give ARI the ability to conduct a limited number of research efforts or studies and analyses whose duration would not normally exceed 24 months after the contractor receives the DO.

## **COMPRS Administration Overview**

The basic model by which new DOs are awarded is depicted in Figure 1. Upon identifying a need, ARI develops a Statement of Tasks (SOT) which is passed to HumRRO through the Defense Supply Service - Washington (DSS-W). The HumRRO COMPRS Program Manager forwards the SOT to the appropriate personnel for preparation of a Request for Delivery Order (RFDO). The RFDO is a proposal which specifies how the work will be conducted, its timeline, and firm fixed price. Within 30 days of receiving the SOT, HumRRO submits the RFDO to DSS-W which forwards it to ARI for review. Upon ARI approval of the RFDO, DSS-W awards a fixed price delivery order contract to HumRRO for performance of the project. If the work involves a subcontractor, HumRRO will issue a subcontract with the appropriate parties. The Contractor(s) will not commence performance of any DO until so authorized by the DSS-W Contracting Officer.

Key players in the COMPRS delivery order cycle include the HumRRO COMPRS Program Manager (PM) who is responsible for coordinating all contract activities with ARI's COMPRS Contracting Officer's Representative (COR). Details associated with individual delivery orders are handled primarily through the DO Project Director in coordination with the DO-COR. Deliverables, contract modifications, and other formal contract-related actions must all be handled through the COMPRS PM. The COMPRS PM should also be consulted regarding problems with work accomplishment under the terms of a given DO contract. Contractually, the COMPRS PM is ultimately responsible for the total management of the COMPRS (including the performance of all subcontractors).

## **Contractor Consortium**

The COMPRS contract was awarded to a team of contractors led by HumRRO. The team includes the following members:

- HumRRO
- Fu Associates, Ltd.
- WESTAT
- DSC, Inc.
- HTI-LINK
- SAG Corporation

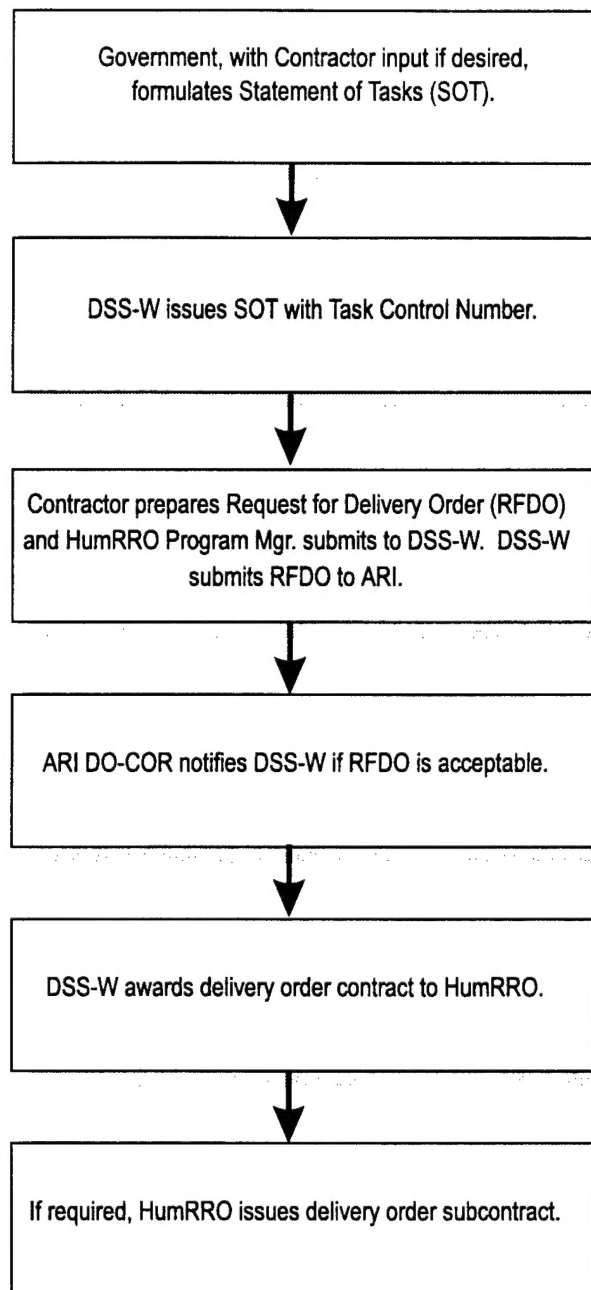


Figure 1. Genesis of a COMPRS Delivery Order Contract

When it is determined that the services of a subcontractor or consultant not bid in the original contract are required to meet the needs of the Government, the COMPRS PM makes a search for competent personnel to complete the tasks. This search may involve a competitive bidding process to identify the best, most cost-effective source. Generally, however, ARI requests consideration of particular subcontractors or consultants.

## **Overview of Manual**

This Standard Operating Procedures (SOP) manual describes the actions that ARI, HumRRO, and other COMPRS team members must take to initiate and execute DOs. It describes the steps associated with developing an SOT and the policies and procedures used under the COMPRS to translate SOTs into RFDOs. The following sections are included in the manual:

- Section 1: Starting a New Project through COMPRS
- Section 2: Issuing the Statement of Tasks
- Section 3: Preparing the Request for Delivery Order
- Section 4: Delivery Order Contract
- Section 5: Deliverables and Payments
- Section 6: A Review of Roles and Responsibilities

The SOP is intended to answer most basic questions about the COMPRS contract vehicle. DO Project Directors are expected to be familiar with its contents and will be held accountable for following the procedures described. Detailed questions related to COMPRS DOs should be directed to the COMPRS PM (or, in the case of Government personnel, to the COMPRS COR).

### **Section 1: Starting a New Project through COMPRS**

Procurements through COMPRS are intended to be streamlined, fast, and allow for consulting between the Government and the Contractor. ARI may begin discussions with the (sub)contractors at an early stage. Indeed, COMPRS calls for ARI to keep HumRRO generally informed as to planned directions in its work program to allow reasonable lead time to locate potential sources among Contractor staff or consultants for future DOs. The COMPRS specifically calls for HumRRO to have a copy of published ARI Programs.

Specific discussions about a proposed piece of work can be initiated before HumRRO receives an official SOT from DSS-W as a funded requirement with a Task Control Number (TCN). Normally, discussions will be initiated by the COMPRS COR with the COMPRS PM, and may be continued with the DO-COR and proposed DO-Project Director. The COMPRS PM will determine the appropriate staff member (i.e., proposed DO Project Director) to continue discussions with ARI personnel. If

preliminary discussions ensue through other channels (e.g., directly between the ARI sponsor and a contract researcher), the COMPRS PM should be informed that they are taking place, and kept generally apprised of progress. Specifically, the Contractor point-of-contact for a given proposed effort should provide a copy of draft SOTs and formal SOTs (with Task Control Numbers) to the COMPRS PM.

The ARI point-of-contact can be specific in discussing all aspects of the planned work, except for discussions about fiscal matters. HumRRO and its subcontractors can review drafts of the SOT and the schedule of deliverables as they are being prepared and circulated through ARI for review. Indeed, it is preferred that this pre-coordination takes place as it generally assures that the Contractor will be able to respond to the formal SOT quickly and with little, if any, additional negotiation. Keep in mind, however, that the only binding paperwork is that which goes through the COMPRS PM and DSS-W.

None of the time spent prior to the award of a DO is directly chargeable to the Government. Pre-award, all time expended by (sub)contractor staff is charged to their respective overhead accounts.

## **Section 2: Issuing the Statement of Tasks**

The SOT is basically equivalent to a Statement of Work in that it specifies the nature and scope of the work required by the Government. It also specifies which COMPRS program it falls under (i.e., Quick Reaction, Attitude and Opinion Survey, or Medium-Term). A sample SOT is presented in Appendix C. It shows the correct format for the document and illustrates the guidance provided in the remainder of this section.

Note that in an SOT, "the Contractor shall..." and "the Government will..." are binding imperatives which are reversed when the Contractor prepares an RFDO in response. That is, the RFDO will say "we will..." and "the Government shall..." Other phrases in the SOT like "the Contractor should..." or "the Government may..." are suggestions and are not binding on either party.

### **SOT Paragraph 2: General**

This section of the SOT introduces the issue to be researched, studied, or analyzed. It provides basic background information, including important references and events that may affect the timing of the effort. This paragraph should state whether the work is an ARI-originated requirement (6.2 funds), a sponsored project (6.3 funds), or a sponsor requested studies and analysis effort (6.6 funds). It should use the appropriate wording (e.g., research, study, analysis) for the type of funding source being used. Relevant requirement memoranda or directives, if applicable, should also be cited.



### **SOT Paragraph 3: Objective**

This paragraph is a brief one to two sentence statement of the goals of the project.

### **SOT Paragraph 4: Specific Tasks**

Work requirements should be organized into two or more tasks. Task titles should be succinct and informative. Task requirements should be as detailed as necessary to assure that everyone (i.e., ARI, Contractors, DSS-W, non-ARI sponsors) understands the scope and nature of what is required. The DO-COR should not depend on being able to clarify requirements at a later date. Vaguely-worded requirements are particularly problematic if there is a change in DO-COR or DO Project Director during the execution of the subsequent DO contract.

SOTs involving the administration of surveys or collection of other data should specify sample size requirements and/or required precision of resulting population estimates.

### **SOT Paragraph 5: Deliverables and Reporting Requirements**

Paragraphs 5.a and 5.b introduce reporting requirements for the DO. Paragraph 5.a specifies the appropriate formatting for technical reports (i.e., following ARI Regulation 70-3, September 1993 edition) and indicates that final reports must be provided on disk as well as in hard copy form (these are requirements of the Master Contract). The number of hard copies typically required is two (original plus one copy). Paragraph 5.b describes the turnaround time required by the Government for reviews of deliverables.

Paragraph 5.c details the deliverables and the associated deliverable schedule. Note that the setting of deliverable dates is from time of award (EDODO -- Effective Date of Delivery Order) as opposed to actual calendar dates. The SOT may state requirements in terms of weeks or months from EDODO, but should not mix the two. Specific dates may be used for projects that are truly time critical where the timelines are set by an agency external to ARI (e.g., a change in Army policy or TRADOC setting the schedule for training). The deliverable timing must match in the task descriptions (if provided therein), reporting requirements, and schedule of deliverables.

The Master Contract requires a meeting with ARI at the start of and at the completion of each DO, unless otherwise stated in the SOT. Paragraph 5.c in the SOT should include any desired information on timing, location, or if the meetings are not required.

Under normal circumstances, monthly reports should be required. The Master Contract does not require any particular format for these reports. If the DO-COR has particular requirements, these should be specified in the SOT.

Sometimes the SOT may require 3 iterations of reports intended for ARI publication: the initial draft, the review draft, and the final copy.

**Initial draft.** Initial drafts are intended to speed the delivery of content to the DO-COR and, when appropriate, to ARI's sponsor. They can be given to the DO-COR simultaneously to the Contractor's internal quality-control and editorial process. ARI is to review this initial draft on scientific and technical merit and clear communication to intended audiences and is not to edit any initial draft report for compliance with ARI publication format standards; it is not even required to meet ARI format standards.

**Review draft.** Two things distinguish review drafts from initial drafts. First, they will have been reviewed by the DO-COR for content and any changes requested during the initial draft review. Second, review drafts meet ARI publication format standards. An acceptable review copy is one that can be sent immediately for sensitivity review, peer technical reviews, and ARI sponsor review, when appropriate. It should include a completed Standard Form 298, Report Documentation page.

**Final copy.** Final copy is acceptable when it can be immediately sent for final publication review and approval.

Additional information regarding deliverables is discussed in Section 5 of this manual. Section 5 includes more detail regarding requirements specified in the Master Contract that are applicable to all DOs, but which may not be explicitly stated in individual SOTs.

#### **SOT Paragraph 6: Qualification Requirements**

This paragraph specifies the basic education and/or experience requirements for those contractor personnel selected to staff the project.

#### **SOT Paragraph 7: Place and Period of Performance**

ARI provides an estimate of the level of effort it expects will be required to accomplish the work in SOT paragraph 7. This estimate may not be so exact as to tell the Contractor how much money is allocated to the effort. It will usually specify the number of professional staff days anticipated, preferably using the COMPRS labor categories (see Appendix E). The ARI estimate and the Contractor estimate must be independent.

Paragraph 7 also specifies where the work is to be performed and any travel requirements that are anticipated.

#### **SOT Paragraph 8: Government Furnished Property**

In SOT paragraph 8, ARI provides a list of any supplies, postage, equipment, data, help, or ADP that they plan to provide. Note that the Contractor must also address this issue in the RFDO and may propose a different list.

#### **SOT Paragraph 9: Security Clearance**

This paragraph specifies what level of security clearance is required for individuals selected to work on the project.

#### **SOT Paragraph 10: Delivery Order Contracting Officer's Representative**

This paragraph identifies the person responsible for monitoring work performed under the DO contract. It should include the name, address, phone number, and fax number of this individual. If the work is being sponsored by an agency other than ARI, this section should also identify a point-of-contact from that agency.

### **Section 3: Preparing the Request for Delivery Order**

Upon receipt of an SOT, HumRRO and/or its subcontractors prepares a request for delivery order (RFDO) -- similar to a traditional proposal -- for submission to the Contracting Officer within 30 days of receipt of the SOT. A sample of an RFDO submitted for COMPRS is contained in Appendix D.

#### **Contents**

The RFDO will contain the elements usually found in a proposal but will be much shorter, directly to the point, and follow the outline of the SOT. It must be specific enough, however, so that when taken with the SOT the work is sufficiently defined to preclude any ambiguity as to what is required to be performed and what are the deliverable products. Note that the binding imperatives in an RFDO are "the Contractor will..." and "the Government shall..."

When preparing an RFDO, deliverables must be matched with the appropriate task(s). Each task, when appropriate, should result in an identified document or deliverable that results from that task.

The RFDO will address in detail any Government supplied property or information that is required to perform the work. It will also address the issue of minimizing total government cost by considering alternative approaches to data

collections or compilations of data from different sources.

Resumes of proposed staff need only be included if those staff were not included in the original COMPRS proposal or if they are being bid in a higher labor category than originally proposed. If in doubt, check with the COMPRS PM.

FAR clauses on compliance with the Privacy Act are part of the COMPRS contract by reference. All proposed and performed work must be in compliance with the Act to include not only providing notifications to individuals completing a form (Privacy Act notices), but also maintaining records in compliance with ARI's Systems Notice (A1306.01 DAPE) as published in the Federal Register. The DO-COR should be consulted to determine the specific Privacy Act requirements for a given DO.

### **Costing**

Included in each RFDO submitted will be a detailed statement of proposed price, including personnel and other direct costs to complete the work. Costs to be incurred by the Government in providing any Government supplied equipment or personnel should be considered when determining the number and type of people, schedule, and cost necessary to accomplish the tasks specified in the SOT. For all HumRRO or subcontractor/consultant labor, at a minimum, the following information will be provided:

- Number of hours proposed per type of employee,
- Labor categories,
- Total number of hours required, and
- Total cost for labor and other direct costs.

COMPRS labor category definitions and the pre-approved hourly costs for staff in these labor categories are provided in Appendix E. The hourly rates are fully loaded and averaged across HumRRO and its subcontractors. Independent Government cost estimates prepared by ARI will typically use these figures. For RFDO budgeting purposes, the hourly rates for the applicable organization must be used. This more detailed, organization-specific costing information is available from the COMPRS Program Manager and/or the applicable contractor's contracting office.

Subcontractors will provide HumRRO with their labor estimate in the form of a labor category-by-task-by-hour table contained in the text of the RFDO. If subcontracting outside the team, the subcontractor's proposed price is required as a line item under "other direct costs" and is not broken down by labor category. Back-up fiscal information for the outside subcontractor is required to be submitted.

## Review Drafts

Turn-around of the RFDO to DSS-W will generally be quicker if the Contractor has seen drafts of the SOT and has been discussing the particulars of the effort with the DO-COR at ARI. Similarly, HumRRO can provide draft copies of the RFDO directly to ARI for comment and clarification on all issues, including cost estimates. Subcontractors may also directly discuss technical issues with ARI and general cost issues; however, only HumRRO can provide official cost information to the Government. Everyone must recognize that any cost discussions are to be general in nature and are in no way official or binding.

In reviewing drafts, the DO-COR will work with the DO Project Director to clarify any ambiguities or differences between SOT requirements and the RFDO and resolve any exceptions taken to the SOT or unacceptable assumptions made by the Contractor. The COMPRS PM should be given the "close-to-final" RFDO for review.

Typically in the draft RFDO stage, all problems, including costs, will be resolved.

## Submission to DSS-W

Each RFDO will be accompanied by a letter that requests a DO. The cover letter requesting the DO is prepared and signed by the COMPRS PM. The cover letter contains at least the following:

- Any exceptions taken to the SOT;
- Identification of the proposed technical personnel, if any, who are being bid for the first time on the COMPRS, or in a different labor category than they were bid in the COMPRS proposal<sup>1</sup> and for which they have not yet been accepted by the Government;
- Any data to be kept in a system of records that does not conform to the ARI Privacy Act Systems Notice.
- Any assumptions made, particularly on timing and schedules. Particular problem areas are often in assumptions about timing of approvals of reports, data collection instruments, or external reviews such as OMB approval of data collections involving civilians or FORSCOM and TRADOC approvals of troop support requests.

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<sup>1</sup> We anticipate that people originally bid in the COMPRS proposal will move into a higher labor category sometime during the course of the COMPRS.

- A proposed payment schedule, tied to RFDO deliverables. [The payment schedule is worked out by the HumRRO Contracts Office in conjunction with the proposed DO Project Director. Note that some deliverables may not be separately priced, but all priced deliverables and reporting requirements must appear in the RFDO.]

The proposed DO Project Director should bring any special problems or circumstances to the attention of the COMPRS PM to assure that these issues are addressed in the cover letter or in some other fashion suitable for the COMPRS contracting mechanism.

#### **Section 4: Delivery Order Contract**

The DO-COR reviews the official RFDO and submits an RFDO review letter to DSS-W accepting it. The contract specialist at DSS-W prepares a Delivery Award for review and signature by a Contracting Officer. The DO award includes the schedule of deliverable items with calendar dates now as CLIN items, fixes the payment schedule, and includes the SOT by reference. (A "CLIN" item is a deliverable that DSS-W expects to see before the terms of the DO contract will be considered satisfied.) Appendix F shows a sample DO award.

##### **Terms of the Contract**

Each delivery order that is issued incorporates terms from the Master Contract and from the subcontract issued by HumRRO to each subcontractor; therefore, each DO procurement will not address those specifics. Clauses incorporated by the COMPRS contract are listed in Appendix G. Appendix G also provides a summary discussion of relevant terms from the Master Contract. DO Project Directors, subcontractors, and consultants should review these terms when negotiating potential COMPRS DOs.

##### **Contract Modifications**

Modifications must be made to the DO to change the schedule or nature of the deliverables. The most common requirement is for a no-cost extension to the schedule of deliverables. As a rule of thumb, if the delay is less than one month, a formal contract modification is not necessary. Rather, the DO Project Director should prepare a memorandum telling the DO-COR and COMPRS PM of the delay, and the DO-COR must approve the delay. Delays which are expected to extend beyond a period of 3-4 weeks should be handled with a contract modification that is requested before the DO contract is scheduled to expire. Changes such as these that do not have cost implications can be done as no-cost modifications.

Often in the course of a project, the need for additional work will become apparent. Because of the ease in getting a new COMPRS DO, it is generally a better idea to put the additional work on a new DO rather than modifying an existing DO contract. This is particularly true if the additional work is a new task and not a clarification or addition to an existing task, is separable from the DO (e.g., a secondary analysis of data or a new data collection that does not benefit by being done with other data collections in the DO), and is better reported in a separate, stand-alone report.

A modification is preferred, however, when the additional work is clearly within the scope of work for the DO as defined by the task paragraph in the SOT, is non-separable from the DO (e.g., is an additional analysis or data collection needed to produce properly the products of the DO), and is better reported as part of the DO deliverable reports rather than as a separate, stand-alone report. Modifications can be initiated by either the Government or by the Contractor. If requested by the Contractor, the COMPRS PM sends a letter to DSS-W (with 3 copies to the DO-COR) describing the new schedule and reasons for the change. If the desired modification involves new work and/or additional cost, it is preferred that the DO-COR submit the request to DSS-W following usual ARI procedures. That request should specify the additional work, the justification for the work, and the anticipated level of effort for the work. If DSS-W agrees that the change is within the scope of work, and HumRRO concurs with the change, and ARI provides the additional funds, then DSS-W will issue a DO modification.

## **Section 5: Deliverables and Payments**

### **Format Requirements**

**Monthly Reports.** There is no standard required format for DO monthly reports dictated by the COMPRS Master Contract. For tracking purposes, however, each report should include the Master Contract number, subcontract number (if applicable), the DO number, the reporting period, and the report date. The SOT may also impose certain additional requirements. An example of a typical monthly report is provided in Appendix H.

**Technical Reports.** The following specifications are required by the Master Contract and must be followed in the preparation and delivery of technical reports generated under COMPRS.

Reports will be prepared in accordance with ARI contract report guidelines. ARI Regulation 70-3 (September 1993 edition, available from the COMPRS PM or ARI), "Guidelines for the Submission of Manuscripts for Publication and Other Scientific and Technical Documents." This document identifies the Publication Manual of the American Psychological Association, Fourth Edition, as the basic format for all ARI reports.

In order to facilitate later editing of each document by the Government, the DO Project Director shall deliver a copy of each *final report* on diskette. MS Word for Windows 6.0 is the preferred format, although MS-DOS based WordPerfect (version 5.1) format will be accepted. This file should be free of all extraneous codes such as embedded hard-returns at the end of each line. The DO Director shall also deliver one camera-ready copy of all figures, tables, or other art work used in the final document, and one copy of the negative and/or computer file, as appropriate, for each graphic image. The SOT will specify the number of hard copies that are required.

All COMPRS reports shall cite ARI support (including contract and delivery order number) and must carry the following disclaimer:

*"The views, opinions, and/or findings contained in this report (paper) are those of the author(s) and should not be construed as an official Department of the Army position, policy, or decision, unless so designated by other official documentation."*

Publication credit for ARI technical publications is assigned proportionately to in-house and contracted personnel who have contributed to the product. Proper acknowledgement of ARI sponsorship and responsibility shall be included. Generally, authorship credit shall be restricted to the three persons making the largest creative contribution to the total effort, from the formulation of the problem to the final technical report.

All scientific and technical reports shall be accompanied by a completed SF 298, "Report Documentation Page." Appendix I has a blank SF 298 as well as a sample of a completed form.

The Contractor shall not publish or distribute instruments, data, or findings from contract research without prior review and approval of the Government. All papers, reports, professional or lay publications, and presentations at meetings and conventions must be sent to the Government for review and approval. The Contractor should be aware that review and approval by the Government normally requires 4-6 weeks.

**Briefings, Meetings, and Other Non-Written Deliverables.** Some deliverables, such as briefings or other meetings, will need to be documented in writing through a Memorandum for Record (MFR). The MFR may be brief, but should provide meeting date(s), participants, objectives, and outcomes.

**Software and Data.** The Contractor shall, over the term of the contract, correct errors in contractor developed software and applicable documentation which are discovered by the Government, any other user of the software, or the Contractor. Such corrections shall be made within 30 days of the date the error is identified. Further, the Contractor agrees to provide such corrections at no charge to the Government unless the error is a direct result of negligence of the Government, or is the direct



result of Government modification of the software. Inability of the parties to determine the cause of software errors shall be resolved in accordance with the Disputes clause in the General Provisions of the contract, but in no event constitutes grounds for delay of error correction beyond the time frame specified above.

The certificate shown in Appendix G (page G-8) shall accompany all technical data.

### **Submission to ARI**

As indicated in Figure 2, a copy of every DO Deliverable (including monthly reports and deliverables that are not separately priced) must come through the COMPRS PM on its way to ARI. HumRRO is required by the contract to transmit the deliverables to the appropriate ARI and DSS-W representatives. The DO Project Director may simultaneously provide the DO-COR with a courtesy copy as long everyone understands that the official copy comes from the COMPRS PM.

The COMPRS PM, with the assistance of the COMPRS Administrative Assistant, will prepare and sign a cover letter transmitting each deliverable to the DO-COR and distribute the deliverable package to all applicable parties. A sample of a cover letter accompanying a final DO deliverable is shown in Appendix J.

Those Delivery Order Deliverables that have a payment attached will be processed expeditiously by HumRRO's COMPRS PM and contracts and accounting departments. The subcontracts that HumRRO issues have built in sufficient turn-around time for each deliverable to go from HumRRO to ARI by the deliverable due date specified in the DO prime contract. HumRRO makes payments to subcontractors upon notification from the DO-COR that the deliverable(s) has been approved.

DO Project Directors are expected to submit deliverables to the HumRRO COMPRS Administrative Assistant (or alternatively to the COMPRS PM). As indicated previously, the COMPRS PM and DO-COR must be notified in advance of delayed submissions.

### **Section 6: A Review of Roles and Responsibilities**

There are several key roles in the administration of the COMPRS contracting vehicle. A summary of those roles and the accompanying major responsibilities is provided in this section. Names, phone numbers, and addresses of individuals currently occupying the first four positions described below are listed in Table 1. This table will be updated as necessary.

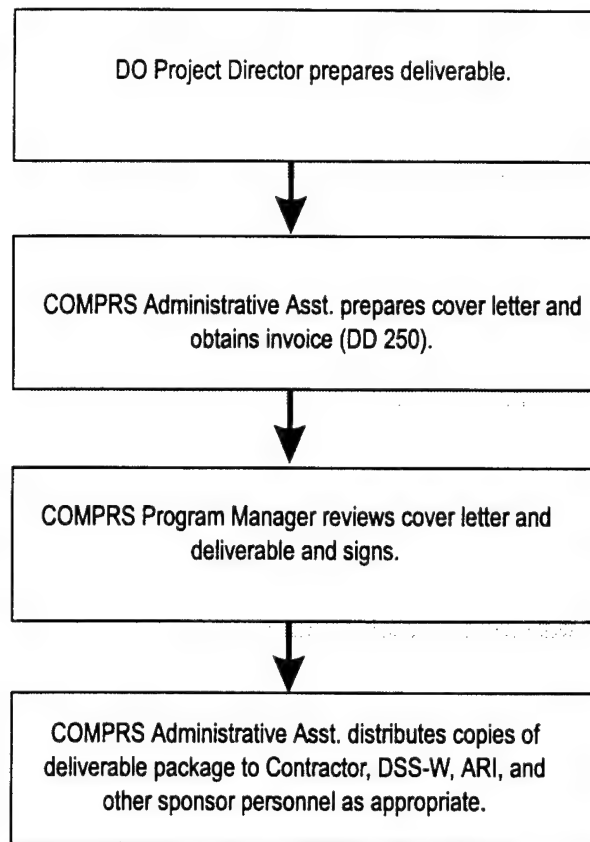


Figure 2. **Deliverable Submission Process**

COMPRS Program Manager	Dr. Deirdre Knapp HumRRO 66 Canal Center Plaza, Suite 400 Alexandria, VA 22314  (703) 706-5662    (703) 548-5574 (fax)
COMPRS Administrative Assistant	Mrs. Dolores Carson HumRRO (see address and fax above)  (703) 706-5606
HumRRO Contracts Manager	Mrs. Judy Pumphreys HumRRO (see address and fax above)  (703) 706-5602
COMPRS COR	Dr. Joan Harman U.S. Army Research Institute for the Behavioral and Social Sciences 5001 Eisenhower Avenue Alexandria, VA 22333  (703) 274-8294    (703) 274-8578--fax

Table 1. Key COMPRS Administrative Personnel (As of November 1, 1995)

### **HumRRO COMPRS Program Manager**

The HumRRO COMPRS PM is responsible for managing the COMPRS contract as a whole, to include responsibility for meeting the requirements of individual delivery orders. To perform this function effectively and efficiently, DO Project Directors must take responsibility for assuring that contract paperwork and high quality products (e.g., RFDOs, deliverables) are submitted to the COMPRS PM in a timely fashion. The COMPRS PM is then responsible for preparing cover letters and transmitting paperwork to the appropriate HumRRO, subcontract, and Government personnel.

In addition to coordinating and monitoring the efforts of Contractor staff, the COMPRS PM is the primary liaison with ARI. Specifically, she maintains contact with the COMPRS COR to track progress of new and existing DOs, discuss the potential for new work, and address problems that arise.

When ARI comes to HumRRO with a piece of work that has not previously been discussed with a member of the Contractor team, the COMPRS PM is responsible for identifying the most suitable Contractor point-of-contact. This may be either a HumRRO or a subcontractor researcher. Moreover, the COMPRS PM is responsible for maintaining records on the status of each active delivery order and for monitoring efforts toward developing new DOs. To support marketing efforts, the COMPRS PM also maintains briefing materials that describe COMPRS and the Contractors associated with it.

At the end of each contract year, the COMPRS PM prepares an annual report for ARI which summarizes DO activity for the year. This report includes descriptions of the objectives, method, and products of each DO. The COMPRS PM is also responsible for creating and maintaining a current Standard Operating Procedures (SOP) manual.

#### **HumRRO COMPRS Administrative Assistant**

The HumRRO COMPRS Administrative Assistant is responsible for assisting the COMPRS PM in (1) receiving and tracking DO deliverables; (2) preparing cover letters and report covers, (3) coordinating with the HumRRO Accounting Office to prepare invoices; (4) distributing SOTs, RFDOS, and deliverables, and (5) maintaining a database of COMPRS resumes. As necessary, she will work with individual DO Project Directors to assure that deliverables are submitted in a timely fashion.

#### **HumRRO Contracts Manager**

The HumRRO Contracts Manager prepares contract and subcontract paperwork associated with the Master Contract and individual DOs. She is responsible for interfacing with DSS-W on all COMPRS-related matters (e.g., contract awards and modifications). The Contracts Office works with the HumRRO accounting office to generate invoices and to pay subcontractors upon the approval of the COMPRS PM or appropriate HumRRO DO Project Director.

#### **ARI COMPRS Contracting Officer's Representative**

The ARI COMPRS COR is responsible for the overall performance associated with the COMPRS contract and associated DOs. This individual coordinates the management of COMPRS with the HumRRO COMPRS PM and DO-CORs who are responsible for monitoring the work performed under individual DOs. The COMPRS COR works with ARI researchers and sponsors of work outside of ARI (e.g., DMDC, OASD) to determine whether COMPRS is a suitable, workable contract vehicle for upcoming work requirements and to develop SOTs. In this capacity, the COMPRS COR is expected to maintain close coordination with the ARI Deputy Director (Science and Technology), who approves all new DOs.

## **Delivery Order Project Directors**

As with any other contract that they manage, DO Project Directors are responsible for the quality and timeliness of project deliverables and for managing project resources. Unlike other contracts, however, DO Project Directors must submit deliverables through the COMPRS PM. Moreover, circumstances that might require a contract modification or problems that threaten the quality or timeliness of deliverables should be brought to the COMPRS PM's attention as they arise. Working things out with the DO-COR is desirable, but not enough. For example, if the DO Project Director and the DO-COR agree to modifications to the nature and/or due date of one or more deliverables, this agreement must be put in writing (at a minimum) and in many cases, formalized as a contract modification. In either case, the COMPRS PM, who is responsible for submitting all DO deliverables to ARI, must be notified.

Contractor or subcontractor personnel who are working with the Government to develop an SOT for COMPRS must do so in coordination with the COMPRS PM. Generally, COMPRS PM involvement will be limited to administrative issues rather than to the proposed technical approach.

## **Delivery Order Contracting Officer's Representatives**

DO-COR's are responsible for monitoring the work performed under individual COMPRS DOs. Once a DO deliverable (other than routine monthly reports) has been submitted to a DO-COR, he/she should review it for technical adequacy. If the deliverable is acceptable, the DO-COR should (1) sign the accompanying invoice (DD Form 250) and forward it to DFAS in Columbus, OH and (2) notify the DO Project Director that the deliverable is acceptable. HumRRO and its subcontractors do not get paid unless and until the invoice is signed and forwarded. Moreover, HumRRO does not pay subcontractor invoices until we are assured that HumRRO's invoices to ARI have been approved.

When questions or problems arise, DO-COR's may work with the DO Project Director, the COMPRS PM, and/or the COMPRS COR to address them.

## APPENDIX A

### SAMPLE DELIVERY ORDER SUMMARY FROM COMPRS ANNUAL REPORT

<b>DO# 0023</b>	<b>Title:</b> Identifying the Attrition Problem and Its Solutions
<b>Program Area</b> QR <input checked="" type="checkbox"/> AOS _____ MT _____	<b>DO-COR:</b> Dr. Clint Walker  <b>Project Director:</b> Dr. Janice Laurence  <div style="text-align: right;"><b>DO Summary</b></div>
<b>Problem:</b> After decades of research on the "attrition problem" and numerous ad hoc remedies, Army management still experiences problems with attrition. It has also been evident that some attrition has a positive impact on the Army. Thus there exists the need to generate a generally accepted conceptualization of the "attrition problem" and a coordinated set of remedies that could be responsive to changes in the external environment.	
<b>Objectives:</b> The objective of this effort was to prepare a report critically reviewing the literature on the subject of enlisted attrition from the Army. The review was intended to identify, insofar as possible, what the "attrition problem" is and what information is lacking to identify the nature and extent of the problem.	
<b>Status:</b> Completed (July 29, 1994-November 28, 1994)	
<b>Results:</b> The literature review suggested that the best bets toward solving the attrition problem are to (a) determine the extent of management/policy control at various levels and set guidelines that are appropriate; and (b) enhance the match between the individual and the organization through classification based on biodata/temperament as well as realistic previews of the job, the environment, and the behavior. Finally, concern over attrition by outside parties (e.g., Congress) is not likely to subside. The Army would be in a better position to answer continuing concerns if the causes and codes were tracked by personal characteristics and their interactions were understood. The Army could then account for and explain attrition levels and tradeoffs between attrition and other personnel policies.	
<b>Bibliography:</b> Laurence, J.H., Naughton, J.A., & Harris, D.A. (1995). <u>Attrition Revisited: Identifying the Problem and Its Solutions</u> . Alexandria, VA: Human Resources Research Organization. [Final Delivery Order Report]	
<b>Products:</b>	
<b>Planned Documents and Products:</b>	

## APPENDIX B COMPRS PROGRAM DESCRIPTIONS

### Quick Reaction (QR) Program

Applicable Areas. The QR program is intended to give ARI a quick-response capability to perform short-term research or studies and analysis dealing with manpower and personnel issues for which the necessary in-house capability is not available. The QR Program may only be used for the procurement of non-personal services to perform the tasks specified in the DO, subject to the limitations set forth below.

Conditions. Because this program is intended to resolve manpower and personnel issues that can be studied in a short time, the following conditions will normally apply:

- Each of the QR Program DOs shall be completed within the period of time specified in the DO, with the maximum allowable completion normally being within a 12-month period from the start date of the DO.
- Each task of the DO shall be completed by HumRRO or its subcontractor(s) within the total time allocated and a final report prepared and delivered.
- Unless otherwise stated in the DO, the tasks to be performed by the Contractor shall include a meeting with ARI at Alexandria, Virginia or at an ARI Field Unit at the start of, and at the completion of, each of the QR Program DOs.

### Attitude and Opinion Survey (AOS) Program

Applicable Areas. The AOS program is intended to give ARI the ability to conduct surveys to provide information for accession and force management decision-making. This information can only be obtained through surveys of the target populations and may require updating due to changing population dynamics and attitudes in various population segments.

Conditions. Because this program is intended to provide information quickly to resolve manpower and personnel issues, the following conditions shall normally apply:

- Each of the AOS efforts shall be completed within the period of time specified in the DO, with the maximum allowable completion normally being within a 12-month period of the start date of the DO or an 18-month period if Office of Management and Budget (OMB) approval is required. Each AOS survey shall be performed using standard random sampling procedures or other appropriate sampling techniques.

- The tasks written by the Government in each AOS Program SOT shall include a statement of the target group for the survey. A target group may be defined as, for example, all males, age 16-21 years old, in high school or graduated, and having positive propensity to enlist in any military service. The Contractor shall prepare as part of its response to the SOT, the necessary screening and sampling methodologies to assure that the target group requirements are met.
- If specified in the SOT and subsequent DO, the Contractor shall prepare a survey instrument. The Government may, at its discretion, construct a proposed survey instrument and submit it to the Contractor for review and recommended changes. The approved survey instrument shall be administered by the Contractor to the target population, or a sample thereof. All reproduction, survey administration, analysis, and report generation costs shall be included in the Contractor's RFDO for an AOS survey.
- The ability to conduct surveys under the AOS program may depend on ARI obtaining OMB approval to collect the information from the public. If OMB approval is required, and if such approval is not obtained, the survey shall not be conducted. The Contractor will be notified by the Government of the status of OMB approval. Surveys involving military personnel do not require OMB approval. ARI will make the determination of approval authority prior to an SOT being issued and will clearly state in the SOT if survey administration is contingent upon any other approval authority.
- When the final survey instrument is received by the Government, it may be necessary for the DO COR to submit the survey instrument to OMB for approval. The approval process may require from four to six months. Part of the OMB submission is a detailed description of the sampling plan, including burden hours, sampling methodology, non-response analysis, etc. At the request of the DO-COR, the Contractor may be asked to prepare the necessary documentation in accordance with the SOT and DO requirements and submit it to the DO COR who will submit it through agency channels.
- Each DO task shall be completed by the Contractor within the time allocated and a final report delivered. The final report shall contain copies of any appropriate verbatim responses of survey participants. Unless otherwise stated in the DO, the tasks to be performed by the Contractor shall include a meeting with ARI in Alexandria, Virginia or other ARI Field Unit locations at the start of, and at the completion of, each AOS DO.
- At all times the Contractor will protect the confidentiality of the survey responses.



- If OMB approval is not received, the Contractor will be paid only for those tasks in the DO which are completed, and which do not require an approved survey instrument. Each AOS DO will usually contain at least two phases as follows:

**Phase I. Preparation.** The tasks under Phase I will be the review or development of survey instruments, sampling methodology, preparation of approval packet (if required in the DO), and other items necessary for preparation of the survey administration.

**Phase II. Survey Administration, Analyses, and Reporting.** Upon receipt of survey approval, Phase II will involve the tasks necessary to conduct the survey, compile and analyze the data, prepare reports, and conduct in-person presentation of results (if required in the DO). Phase II shall always be contingent upon receipt of proper approval. If such approval for the survey is not obtained, Phase II will not be authorized and no payment for any tasks under Phase II will be made to the Contractor.

### Medium-Term (MT) Program

Applicable Areas. The MT Program is intended to give ARI the ability to conduct a limited number of research or studies and analysis efforts whose duration would not normally exceed 24 months after HumRRO receives a DO. The MT program may only be used for the procurement of non-personal services to perform the tasks specified in the DO, subject to the limitations set forth below.

Conditions of MT Program. This program is intended to resolve problems associated with manpower and personnel issues which require a somewhat longer period of performance than the QR program. The following conditions shall normally apply:

- Each of the MT efforts shall be completed within the period of time specified in the DO, with the maximum period normally being 24 months from the date of the DO.
- Each task of the DO shall be completed by the Contractor within the total time allocated and a final report delivered. Unless otherwise stated in the DO, the tasks to be performed by the Contractor shall include a meeting with ARI, in Alexandria, Virginia or at ARI Field Units, at the start of, and at the completion of, each MT Program DO.

**APPENDIX C**  
**SAMPLE STATEMENT OF TASKS (SOT)**

**QUICK REACTION (QR) PROGRAM  
STATEMENT OF TASK (SOT)**

1. **TITLE:** Support in Developing an Army Civilian Artificial Intelligence (AI) Specialty

2. **GENERAL:**

a. The Director of Information Systems for Command, Control, Communications, and Computers (DISC4) is embarking on a groundbreaking effort to create the first Army civilian specialty area. This specialty will cross career programs and allow civilians with the requisite skills, training, education, or experience to receive certification. This first effort is designed for civilians who have expertise in AI and/or robotics.

b. AI has proven to be very beneficial to the Army and has the potential for even greater integration. On-going Army AI initiatives include: (a) development of Decision Support Systems, (b) test and evaluation, (c) diagnostics, (d) manufacturing, (e) command and control, and (f) intelligent computer aided teaching (ICAT). Recognizing this uniqueness, the Army created separate military additional skill identifiers (ASI) for AI/robotics in 1986.

c. Linkage to specific career programs is present in some cases, but AI exists largely in isolation with a distinct set of theoretical experiential requirements. AI personnel lack a coherent career path that demonstrates career progression from the entry level to senior management positions. A comprehensive program that focuses on management, development, utilization, recruitment, and retention of AI specialists creates the opportunity for maximum utilization of AI skills, knowledges, and abilities.

d. Approval for the AI civilian specialty program was gained in October 1994. In March 1995, the Deputy Assistant Secretary of the Army (Civilian Personnel and EEO Policy)/Director of Civilian Personnel, Office of the Assistant Secretary of the Army (Manpower & Reserve Affairs) (OASA(M&RA)) authorized the "go-ahead" to conduct the work required to support this effort.

3. **OBJECTIVE:** To gather job analysis and competency standard information to support the creation of an artificial intelligence specialty area for Army civilians. This AI specialty will include both AI and robotics.

4. **SPECIFIC TASKS:**

a. Task 1. Identify population and positions.

ODISC4 personnel conducted, in 1994, an informal survey of 61 agencies to begin the process of defining the population of Army civilian positions that require some amount of AI and/or robotics expertise. Based on the results of this survey, the population of Army civilians performing AI/robotics work is estimated to be between 100-200 incumbents, a large proportion of whom work in the Washington DC metropolitan area in R&D agencies. The majority of positions are in Career Program 16 (CP-16, Scientists and Engineers (Non-Construction)), and most positions are at the GS-13 level.

The purpose of this task is to support Government efforts to conduct a formal data call to Army Staff (ARSTAF) principals, Commanders in Chief (CINCS), and major Army command (MACOM) commanders that will more definitively define the population and positions of interest (encumbered and unencumbered). The Contractor shall do this by assisting in the development of the data call specifications (e.g., who should be contacted, what information should be gathered, and what the definition of "relevant position" will be). The contractor will use the results of the data call to identify the population of incumbents/positions for which the specialty will be applicable. Probable data would include: position number, position title, position grade, whether the position is encumbered and unencumbered, name and complete office address (to include Defense Systems Network (DSN) and commercial telephone numbers) of incumbent, and nature of AI-related duties.

ODISC4 will appoint a three or four (3 or 4) member subject matter expert (SME) task force to provide input to the data call specifications and proposed mailout list of addressees during the initial information-gathering step.

The contractor will mail out and collect responses to the data call sheets. ODISC4 will provide mail labels and a reproducible copy of the data call cover memorandum to accompany the mail-out package.

The Contractor shall prepare a database containing the data call data for analysis using appropriate quality control procedures. Analyses of the data shall be performed to describe the population of positions (e.g., grade level, organization) and the characteristics of job incumbents (e.g., name, grade, position title, career program, educational background, demographics).

b. Task 2. Conduct job analysis workshops.

The SME task force will also provide recommendations on the identification of a representative sampling of workshop participants.

Preliminary drafts of the task and competency lists will be prepared by the contractor based on a review of job description information provided by the ODISC4 (e.g., position descriptions, performance appraisals, and related AI training, as available) and interviews with the SME task force members.

The Contractor shall conduct two or three (2 or 3) iterative workshops, with approximately eight to twelve job incumbents in each (to include the SME task force members).

The primary purpose of the workshops will be to delineate the AI-related tasks associated with the job positions of interest, and to identify and define the competencies (i.e., knowledge and skill areas) required for the successful performance of those tasks.

Preliminary survey results in task 3 will determine if additional workshops are required.

**c. Task 3. Conduct job analysis survey.**

The Contractor shall prepare and administer a survey to the entire population of job incumbents identified in Task 1. The purpose of the survey will be to collect (a) descriptive information about the positions and incumbents of interest and (b) ratings of task and competency relevance and criticality. The Contractor shall develop, print, and administer a mail-out, scannable survey form. The ODISC4 will provide mailing labels and a reproducible copy of a cover letter to accompany the mail-out package.

The Contractor shall include, in the AI database, survey data for analysis using appropriate quality control procedures. Analyses of the data shall be performed to describe the population of positions and the characteristics of job incumbents and to identify those tasks and competencies that are most critical. Subgroup analyses shall be performed, as sample sizes permit, to identify any systematic differences across different types of jobs (e.g., AI versus robotics positions).

**d. Task 4. Define competency standards.** Information gathered in Tasks 1, 2 and 3 will identify the competencies required of individuals filling AI specialty area positions. To provide the information needed to establish requirements (e.g., experience, training, education) an individual must meet to be certified in the AI specialty, performance standards and related AI training will need to be established for each critical competency. This will be accomplished through analysis of the survey data and with the input of the workshop panel identified in Task 2 comprising of 8 to 12 subject matter experts. Workshop participants will establish explicit linkages between critical competencies and job tasks and clarify the level of expertise required for certification-level performance. All Task 4 documentation will be included in the final report (Task 5).

**e. Task 5. Write final report.** The Contractor shall prepare a final report documenting the job analysis and standard setting process, procedures, research instruments, and outcomes. It will include competency standards, related AI training, and certification requirements.

**5. DELIVERABLES AND REPORTING REQUIREMENTS:**

**a.** For all technical reports the contractor shall provide one (1) copy of the report as an MS-DOS based WordPerfect file on diskette. Three (3) hard copies of draft reports and nine (9) hard copies final reports shall also be provided. See ARI Regulation 70-3 (Guidelines for the Submission of Manuscripts for Publication and Other Scientific and Technical Documents), which identifies the Publication Manual of the American Psychological Association, Third

Edition, as the basic format for all ARI reports. Under no circumstances shall the Contractor submit a draft final or final copy that needs copy editing.

b. The Government will be allowed fifteen (15) working days for each review of an initial draft technical document and to notify the Contractor of approval or recommended changes to be made in final documents. In the event that the Government exceeds the amount of time set forth herein for its review, the Contractor shall be allowed one (1) additional day, at no cost to the Government, for each day of such delay for delivery of the final report in final form. The Contractor shall request such an extension in writing from the Contracting Officer.

c. The following are requirements of this delivery order:

(1) Initial project planning meeting: There shall be a meeting between the Contractor, the DO-COR, and the ODISC4 Point of Contact (POC) within two (2) weeks of the Effective Date of the Delivery Order (EDODO). The purpose of this meeting shall be to exchange any information necessary for performance of the delivery order.

(2) Monthly letter progress reports documenting the technical status of the project and resources expended will be submitted by the 15th working day of the month following the month reported upon. The Contractor shall provide four (4) copies: one (1) copy to the DO-COR, one (1) copy to the ODISC4 POC, one (1) copy to the COMPRS COR, ATTN: PERI-RZ, 5001 Eisenhower Avenue, Alexandria, VA 22333-5600, and one (1) copy to the ARI Financial Manager, ATTN: PERI-MB, 5001 Eisenhower Avenue, Alexandria, VA 22333-5600.

(3) In-progress meetings. Scheduled as mutually agreed upon by the Contractor and the DO-COR.

(4) Job analysis survey and database, as specified in paragraph 4c above. Raw data collected from the AI survey will be in ASCII format with corresponding documentation.

(5) Final report. As specified in paragraph 4e above.

6. QUALIFICATION REQUIREMENTS: The individuals selected to perform this work shall have knowledge and experience in standard job analysis methodologies, preferably with a background or understanding in AI.

7. PLACE AND PERIOD OF PERFORMANCE: Approximately 32 days for senior staff, 52 days for mid-range staff, and 52 days for junior staff (including clerical) are estimated, not including program management, for the period beginning with the EDODO and ending seven (7) months thereafter. All of the work may be performed at the Contractor's facility or in the immediate Washington DC metropolitan area.

8. GOVERNMENT FURNISHED PROPERTY: The Government will furnish available information on AI-related positions; and cover memoranda and mailing labels for the data call and survey mailouts.

9. SECURITY CLEARANCE: No security clearance is required.

10. DELIVERY ORDER CONTRACTING OFFICER'S REPRESENTATIVE (DO-COR):

Dr. David W. Witter  
HQ, PTSRD  
U.S. Army Research Institute

ODISC4 POINT OF CONTACT:

Mrs. Mary Campbell  
Office of the Director of Information Systems for  
Command, Control, Communications, and Computers  
ATTN: SAIS-IDD  
Room 1C710B, 107 Army Pentagon  
Washington, DC 20310-0107

APPENDIX D

SAMPLE REQUEST FOR DELIVERY ORDER (RFDO)



June 17, 1994

Defense Supply Service - Washington  
5200 Army Pentagon  
ATTN: Mrs. Vicki A. Liedel  
Washington, DC 20310-5220

RE: Contract No. MDA903-93-D-0032  
Task Control No. 94-15  
HumRRO No.: SPR93-10 (COMPRS)

Dear Mrs. Liedel:

The Human Resources Research Organization (HumRRO) is pleased to submit the attached proposal for Task Control No: 94-15 titled "Longitudinal Research on Officer Careers (LROC)." HumRRO and Fu Associates, Ltd will perform the effort.

HumRRO proposes the following payment schedule:

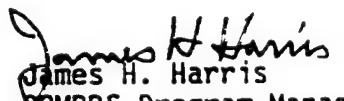
<u>Deliverable</u>	<u>SOT</u> <u>Schedule</u>	
Monthly Reports (3 at <del>\$15,000</del> @)	Monthly	\$ <del>45,000</del>
Research Plan	Month 2	\$ <del>15,000</del>
FY94 Total		<del>\$60,000</del>
Monthly Reports (7 at <del>\$15,000</del> @)	Monthly	<del>\$105,000</del>
Draft Final Report	Month 10	<del>\$15,000</del>
Final Report	Month 11	<del>\$15,000</del>
FY95 Total		<del>\$135,000</del>
RFDO 94-15 Total		<del>\$195,000</del>

HumRRO is an independent nonprofit corporation chartered in the District of Columbia. Mr. William C. Osborn, President; Dr. Robert Sadacca, Vice President and Secretary; Mr. Charles L. McKay, Treasurer; and Mr. Thomas R. Kracker, Assistant Treasurer, are authorized to bind HumRRO contractually.

Technical questions should be directed to Mr. James Harris, COMPRS Program Manager. Questions of a contractual or financial nature should be addressed to Mrs. Judith Pumphrey or me.

Sincerely,

  
William C. Osborn  
President

  
James H. Harris  
COMPRS Program Manager

JCP/bh

cc: Dr. Guy L. Siebold, DO-COR  
Dr. Dave Witter, COMPRS-COR

# ***HumRRO***

## **ATTITUDE AND OPINION SURVEY (AOS) PROGRAM STATEMENT OF TASK (SOT)**

### **Request for Delivery Order**

## **LONGITUDINAL RESEARCH ON OFFICER CAREERS (LROC)**

Submitted to:

**Defense Supply Service-Washington  
5200 Army Pentagon  
Washington, DC 20310-5200**

In Response to:

**Contract Number MDA903-93-D-0032  
Work Unit: 1131C19  
Task Control Number: 94-15**

**June 17, 1994**

## **HUMAN RESOURCES RESEARCH ORGANIZATION**

**66 Canal Center Plaza, Suite 400 • Alexandria, Virginia 22314 • (703) 549-3611**

This proposal or quotation includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this proposal or quotation. If, however, a contract is awarded to this offeror or quoter as a result of - or in connection with - the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets all pages.

Attitude and Opinion Survey (AOS) Program  
Longitudinal Research on Officer Careers (LROC)  
TCN: 94-15

## Introduction

The purpose of this effort is to address long-term and related short-term longitudinal research on officer careers via the LROC data base. Relevant issues will be identified through interviews with leaders in the personnel and leader development community. At least one of the long-term and related short-term issues will be addressed through analysis, and the potential for the LROC data base will be demonstrated through sample analyses.

## Objectives

The objectives of this work are to (a) demonstrate the usefulness of the LROC data base, (b) identify long-term and related short-term longitudinal research issues, and (c) specify the design and structure of future research related to the issues raised by the personnel and leader development community.

## Technical Approach

The objectives of the work will be met by performing five tasks, as follows:

- Task 1: Prepare management plan
- Task 2: Conduct sample analyses
- Task 3: Determine key issues
- Task 4: Analyze LROC data
- Task 5: Design future LROC research

A description of each task follows.

### Task 1.      Prepare Management Plan

The purpose of this task is to develop a detailed management plan outlining the activities to be performed for this contract.

Subtask 1.1. Meet with ARI DO-COR. We will schedule a meeting with the ARI Delivery Order Contracting Officer's Representative (DO-COR) to take place within two weeks of the Effective Date of the Delivery Order (EDODO). The purpose of the meeting is to discuss the requirements of the delivery order.

Subtask 1.2. Submit draft management plan. No later than five working days following the meeting with the DO-COR, we will submit a draft management plan to ARI. After a five working-day ARI review period, we will submit the final plan to ARI within 10 working days of receiving the comments.

## Task 2.      Conduct Sample Analyses

The purpose of this task is to demonstrate the power and value of the LROC data base to provide information to address longitudinal research questions. The task will be completed through the following subtasks:

Subtask 2.1. *Prepare master LROC data base.* We will examine the data available on the LROC data base. Although we expect the data base to contain much useful information, it is possible that appending other data sources to the LROC data base will allow more thorough utilization of the LROC information. Candidate data bases include the Office Longitudinal Research Data Base (OLRDB) and the Officer Master File (OMF). After identifying the relevant data sources, the various data bases will be merged to create a master LROC data base that will provide maximal flexibility regarding the types of questions that may be addressed.

Subtask 2.2. *Develop structural equation model of junior officer retention behavior.* In the first sample analysis, we will use past research on officer retention and the variables from the LROC data base to develop a theoretically sound model of junior officer retention behavior. The analyses will involve the investigation of various competing hypothesized models. The models will be subjected to confirmatory analyses using LISREL 8, allowing a comparative assessment of model fit. We expect the analyses will be feasible on a personal computer.

Subtask 2.3. *Conduct event history analyses.* In the second sample analysis, we will use information on officer career histories to support event history analysis of the impact of social-historical events on officer retention behavior. We expect there to be the potential to use time-invariant and time-varying covariates. Further, we expect there to be the potential to investigate the potential for time-invariant and time-varying effects of the covariates on retention behavior. Demographic variables will also be used either as covariates, stratifying variables, or both. We expect that most of these analyses will require access to a mainframe computer.

## Task 3.      Determine Key Issues

The purpose of this task is to identify the key long-term and related short-term issues of interest from leaders in the personnel and leader development community. The task will be completed through the following subtasks:

Subtask 3.1. *Identify relevant personnel.* Through our knowledge of the personnel community and our interaction with the DO-COR, we will identify relevant branch, division, and directorate heads and their staffs who work closely with officer personnel issues.

Subtask 3.2. *Develop interview protocol.* Our first step will be to develop an interview protocol for obtaining the information from the relevant members of the personnel and leader development community. The protocol will contain a number of

open-ended questions designed to elicit information about the issues the interviewees would most like addressed (e.g., issues related to the drawdown).

Subtask 3.3. Conduct group interviews. We will schedule group interviews with the appropriate personnel, during which we will obtain their suggestions regarding the primary long-term and related short-term research issues of interest to them. The group format will allow us to obtain ideas from a large number of relevant personnel. Our ability to address such concerns will be demonstrated through presentation of the sample analyses conducted in Task 2.

Subtask 3.4. Consolidate information. All information and viewpoints received from the interviews in Subtask 3.1 will be coalesced and content analyzed to determine the primary areas of future research emphasis. For each research topic identified, the data that are currently available and relevant to the issue will be described. We will also identify any other data that are required but not currently available or not currently obtained in a usable form. For these data, we will suggest alternative ways of obtaining the required information.

#### Task 4. Analyze LROC Data

The purpose of this task is to select at least one research issue identified in Task 3 and to conduct analyses relevant to this issue.

Subtask 4.1. Identify research issue. Based on the interviews conducted during Subtask 3.1, we will identify at least one long-term and related short-term issue to address using the LROC data base. The issue(s) selected will be based upon the availability of the required data and ARI priorities.

Subtask 4.2. Develop analysis plan. Once we have identified the issues to be addressed, we will develop an analysis plan that describes the proper analytic approach and the variables to be included. The analysis plan will be submitted to the DO-COR for comment.

Subtask 4.3. Conduct analyses. After approval of the analysis plan from the DO-COR, we will conduct the analyses required to address fully the selected issue. The analyses may be conducted on personal computer, mainframe, or both.

Subtask 4.4. Prepare report and briefing package. After completing the analyses, all procedures, results, and conclusions will be thoroughly documented in a draft report. The report will be submitted to ARI for review. The report will also present the results of the analyses conducted in Task 2, as well as the research design recommendations from Task 5. The document will be prepared to specifications provided in the Publication Manual of the American Psychological Association (3rd Ed.). Following ARI review, the report will be revised and resubmitted to ARI.

In addition, we will prepare a briefing package to include briefing slides and handouts. These materials will be presented at the appropriate In-Progress Review. Read-aheads will also be provided to IPR participants at the option of the ARI DO-COR.

**Task 5.        Design Future LROC Research**

The purpose of this task is to integrate the findings from Tasks 2 through 4 with extant research literature to suggest a plan for future research efforts. This task will be performed coincidentally with Task 4 so that the research recommendations may appear in the final report.

Our suggestions for the design of future research will include recommendations regarding data to be collected, data collection designs, instruments, analyses, and so on, to facilitate future research on officer careers. For example, event history analysis is often difficult to conduct because it requires relatively meticulous maintenance of a longitudinal data base. We might find that more frequent additions to the data base are required to adequately address the issues identified in Task 3.

In addition, the plan will thoroughly describe those efforts that are infeasible due to data limitations, statistical difficulties, or other problems. For example, low event base rates might prohibit adequate modeling of certain officer behaviors of interest. Further, we will provide ARI with estimated manpower requirements, as well as recommendations regarding the upkeep of the LROC data base and the degree to which the research can be centered on the LROC data base before an overhaul is required.

**Deliverables and Reporting Requirements**

<b>Deliverable/Report</b>	<b>Due Date</b>
1. Initial Project Planning Meeting	Within 2 weeks of EDODO
2. Draft Management Plan	Within 5 w/days of Project Planning Meeting
3. Monthly Letter Progress Reports	15th day of month following
4. Oral In-Progress Reviews (IPR)	As agreed upon by HumRRO and DO-COR
5. Draft Final Report	Within 300 days after EDODO
6. Final Report	Within 340 days after EDODO

**Personnel and Travel Schedule**

Table 1 is a table of personnel by labor category by hours by task. Table 2 is a table of travel by location, by number (#) of trips, by purpose, by duration of travel.

Table 1  
Personnel by Labor Category by Hours by Task

Labor Category	Task					
	1	2	3	4	5	Total
PM (HumRRO)	4	8	20	16	40	88
TL/PI (B) (HumRRO)	0	72	128	72	128	400
TL/PI (B) (Fu)	20	15	50	40	60	185
TL/PI (A) (Fu)	0	105	20	110	50	285
STC (B) (HumRRO)	48	472	144	528	576	1,768
MTC (A) (Fu)	16	160	16	128	0	320
MTC (DCO) (Fu)	0	0	0	24	0	24
ETC (A) (Fu)	0	96	0	0	0	96
ETC (Fu)	0	80	0	0	0	80
Total	88	1,008	378	918	854	3,246

Table 2  
Travel

<u># of travelers</u>	<u>From</u>	<u>To</u>	<u>Purpose</u>
1	Alexandria, VA	Ft. Leavenworth, KS	Collect Data
1	Alexandria, VA	Ft. Leavenworth, KS	Collect Data

Dr. Rodney A. McCloy will direct the project for HumRRO. Dr. McCloy is presently involved with ARI's Building the Career Force project. His current research involves confirmatory analyses of a latent model of reasoning and working memory using project data. He recently completed an event history analysis of the attrition behavior of first-term enlisted soldiers, focusing on the predictive power of operational and experimental pre-enlistment measures. His other research endeavors on the project include item analysis and subscore construction for written tests designed to measure knowledge of job-specific training material, validation of the ASVAB and other written



and computerized selection measures, validation of end-of-training performance measures, and structural equation modeling of both training and job performance.

In addition, Dr. McCloy served as a task leader for the ARI's Selection and Classification Models project, the goal of which was to increase Army force quality and effectiveness by improving the present Army classification system. Various selection and classification models were estimated on a large synthetic sample with observed covariances matching a population matrix. The models were evaluated within a cost-effectiveness framework to determine their usefulness when operating under "real-world" constraints (e.g., recruiting goals, recruiting and training costs). Dr. McCloy also assisted with modeling efforts for the Army Families project. Specifically, he conducted confirmatory analyses investigating a hypothesized causal model of unit readiness.

Dr. Douglas H. Reynolds will serve as a member of HumRRO's Senior Technical staff. Dr. Reynolds is currently project director of an effort to develop peacekeeping performance measures as part of a larger program to select candidates for peacekeeping operations. Behaviorally-based rating scales and job knowledge tests are to be developed to be used as performance criteria against which to validate selection measures currently being developed at ARI.

Dr. Reynolds also recently completed a project with the Air Force to develop a recommended classification research program--a research "roadmap" based on Air Force classification research needs and priorities. This roadmap describes (a) Air Force classification objectives and priorities, (b) current progress toward meeting those objectives, and (c) a recommended approach for facilitating objective accomplishment. The roadmap is to be a tool for Air Force decision makers to use in establishing and prioritizing predictor development, criterion development, and validation research direction. As a part of this effort, he reviewed current research in the areas of biodata and life-history predictors, personality and interest measures, and state-of-the-art validation procedures.

Dr. Janice H. Laurence will serve as a HumRRO Task Leader. Dr. Laurence brings 15 years of experience conducting and directing applied social science research and policy analysis primarily in the military setting. Dr. Laurence's work in evaluation, personnel selection, classification, performance, and retention is documented in numerous books, technical reports, monographs, and papers. She is a nationally recognized military personnel policy analyst and as such has testified before Congress, served on advisory groups, and been invited to address relevant groups on such matters. Dr. Laurence is an authority on enlisted attrition. She has also conducted research on the recruitment, representation, selection, and assignment of military officers. This work is documented in technical reports as well as in a book chapter prepared for the Commission on Testing and Public Policy. Dr. Laurence is currently analyzing military population representation issues on enlisted personnel and officers for the Department of Defense, evaluating the outcomes of Army transition programs, and revising the Army's exit survey of officers and enlisted personnel.



Dr. Douglas Rachford will serve as Task Leader for Fu. Dr. Rachford's research expertise is heightened by his impressive academic and professional achievements in human resource management. He has provided critical direction and evaluation for projects focusing on strategic human resources planning, human resource information systems, training, program evaluation, and performance enhancement. Dr. Rachford also possesses a strong background in database design, statistical analysis, and project management.

Ms. Lori Ramsey will be Fu's Analytic Mid-Range Technical Contributor. Ms. Ramsey brings a wide variety of experience in the application of SAS and PL/I programming skills. She has served on a team that has designed and developed large longitudinal databases for research on both U.S. Army officer and enlisted personnel for the Army Research Institute (ARI). Ms. Ramsey is currently the technical lead on an effort to create ARI's longitudinal research database. In addition to providing extensive PL/I and SAS programming support, Ms. Ramsey has been responsible for coordinating the day-to-day activities of the technical team.

#### Cost

The firm, fixed-price cost to perform the work is \$ [REDACTED] The cost information follows.

D-1213

# CONTRACT PRICING PROPOSAL COVER SHEET

1. SOLICITATION/CONTRACT/MODIFICATION NO. Task Control Number: 94-15 FORM APPROVED OMB NO. 3090-0116

NOTE: This form is used in contract actions if submission of cost or pricing data is required. (See FAR 15.804-6(b))

2. NAME AND ADDRESS OF OFFEROR (Include ZIP Code)

Human Resources Research Organization (HumRRO)  
66 Canal Center Plaza, Suite 400  
Alexandria, VA 22314

CEC: 07-263-1799 CAGE: 4D519

3A. NAME AND TITLE OF OFFEROR'S POINT OF CONTACT

William C. Osborn  
President

3B. TELEPHONE NO.

(703) 549-3611

4. TYPE OF CONTRACT ACTION (Check)

A. NEW CONTRACT D. LETTER CONTRACT  
B. CHANGE ORDER E. UNPRICED ORDER  
C. PRICE REVISION/ REDETERMINATION F. OTHER (Specify)  
☒ Delivery Order

5. TYPE OF CONTRACT (Check)

☒ FFP ☐ CPFF ☐ CPIF ☐ CPAF  
☐ FPI ☐ OTHER (Specify)

6. PROPOSED COST (A+B+C)

A. COST B. PROFIT/FEE C. TOTAL  
\$ \* \$ \* \$ 666,000

7. PLACE(S) AND PERIOD(S) OF PERFORMANCE

Place of Performance: Alexandria & Arlington, VA Period of Performance: 12 Months

8. List and reference the identification, quantity and total price proposed for each contract line item. A line item cost breakdown supporting this record is required unless otherwise specified by the Contracting Officer. (Continue on reverse, and then on plain paper, if necessary. Use same headings.)

A. LINE ITEM NO.	B. IDENTIFICATION	C. QUANTITY	D. TOTAL PRICE	E. REF.
	Total Estimated Delivery Order Cost			ATTACH.

9. PROVIDE NAME, ADDRESS, AND TELEPHONE NUMBER FOR THE FOLLOWING (If available)

A. CONTRACT ADMINISTRATION OFFICE

Defense Contract Management District  
Mid-Atlantic (DCMDM)  
200 Townsontown Blvd. West  
Towson, MD 21204-5299

B. AUDIT OFFICE

Defense Contract Audit Agency (DCAA)  
District Branch Office  
8181 Professional Place, Suite 101  
Landover, MD 20785-2226

10. WILL YOU REQUIRE THE USE OF ANY GOVERNMENT PROPERTY IN THE PERFORMANCE OF THIS WORK? (If "Yes," identify)

☐ YES ☒ NO

11A. DO YOU REQUIRE GOVERNMENT CONTRACT FINANCING TO PERFORM THIS PROPOSED CONTRACT? (If "Yes," complete item 11B)

☐ YES ☒ NO

11B. TYPE OF FINANCING (If one)

☐ ADVANCE PAYMENTS ☐ PROGRESS PAYMENTS  
☐ GUARANTEED LOANS

12. HAVE YOU BEEN AWARDED ANY CONTRACTS OR SUBCONTRACTS FOR THE SAME OR SIMILAR ITEMS WITHIN THE PAST 3 YEARS? (If "Yes," identify item(s), customer(s) and contract number(s))

☐ YES ☒ NO

13. IS THIS PROPOSAL CONSISTENT WITH YOUR ESTABLISHED ESTIMATING AND ACCOUNTING PRACTICES AND PROCEDURES AND FAR PART 31 COST PRINCIPLES? (If "No," explain)

☒ YES ☐ NO

14. COST ACCOUNTING STANDARDS BOARD (CASB) DATA (Public Law 91-379 as amended and FAR PART 30)

A. WILL THIS CONTRACT ACTION BE SUBJECT TO CASB REGULATIONS? (If "No," explain in proposal)

☒ YES ☐ NO

B. HAVE YOU SUBMITTED A CASB DISCLOSURE STATEMENT (CASB DS-1 or 2)? (If "Yes," specify in proposal the office to which submitted and if determined to be adequate)

☐ YES ☒ NO

C. HAVE YOU BEEN NOTIFIED THAT YOU ARE OR MAY BE IN NON-COMPLIANCE WITH YOUR DISCLOSURE STATEMENT OR COST ACCOUNTING STANDARDS? (If "Yes," explain in proposal)

☐ YES ☒ NO

D. IS ANY ASPECT OF THIS PROPOSAL INCONSISTENT WITH YOUR DISCLOSED PRACTICES OR APPLICABLE COST ACCOUNTING STANDARDS? (If "Yes," explain in proposal)

☐ YES ☒ NO

This proposal is submitted in response to the RFP contract, modification, etc. in item 1 and reflects our best estimates and/or actual costs as of this date.

15. NAME AND TITLE (Type)

William C. Osborn  
President

16. NAME OF FIRM

Human Resources Research Organization (HumRRO)

17. SIGNATURE

*William C. Osborn*

18. DATE OF SUBMISSION

June 17, 1994

NSN 7540-01-142-9845

1411-101

☆ U.S. GOVERNMENT PRINTING OFFICE : 1984 O - 421-526 (37)

STANDARD FORM 1411 (10-83)  
Prescribed by GSA  
FAR (48 CFR) 53.215-2(c)

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

D-14

RFD0 94-15 (1131C19)  
Costs

1. Cost Elements	Hours	Rate	Cost
a. Labor			
Program Manager (HumRRO)	88	<del>84400</del>	<del>7,416,800</del>
Task Leader/Principal Investigator (Behavioral) (HumRRO)	400	<del>84400</del>	<del>3,376,000</del>
Senior Technical Contributor (Behavioral) (HumRRO)	1,768	<del>100000</del>	<del>1,768,000</del>
Expert Technical Contributor (Fu Assoc.)	80	<del>100000</del>	<del>8,000,000</del>
Task Leader/Principal Investigator (Behavioral) (Fu Assoc.)	185	<del>84400</del>	<del>15,614,000</del>
Task Leader/Principal Investigator (Analytic) (Fu Assoc.)	285	<del>84400</del>	<del>\$24,054,000</del>
Mid-range Technical Contributor (Analytic) (Fu Assoc.)	320	<del>62500</del>	<del>19,999,999</del>
Mid-range Tech. Contributor (Data Coll. Operations) (Fu Assoc.)	24	<del>32500</del>	<del>980,000</del>
Entry-level Technical Contributor (Analytic) (Fu Assoc.)	96	<del>32500</del>	<del>3,120,000</del>
b. Travel Costs (HumRRO) Exhibit A x approved load			<del>2,125,000</del>
c. Facilities Costs			
d. Other Direct Costs (HumRRO) Typesetting - 32 hours @ \$14.23/hour x approved load			<del>720,000</del>
2. Total Costs			<del>\$28,000,000</del>

Date Prepared:  
June 17, 1994

• • •

\* Mileage @ \$.25/mile + parking.

## APPENDIX E

### COMPRS LABOR CATEGORIES

*Task Leader/Principal Investigator (Behavioral)* - possessing a minimum of a masters degree in a behavioral science field, plus ten years related work experience, or a PhD in a behavioral science field, plus five years of related work experience.

*Task Leader/Principal Investigator (Analytic)* - possessing a minimum of a masters degree in an operations research, mathematics, statistics, economics, engineering or computer science field, plus ten years of related work experience, or a PhD in an operations research, mathematics, statistics, economics, engineering or computer science field, plus five years of related work experience.

*Task Leader/Principal Investigator (Data Collection Operations)* - possessing a minimum of a bachelors degree in a behavioral science field, plus ten years of related work experience, or a masters in a behavioral science field, plus five years of related work experience.

*Senior Technical Contributor (Behavioral)* - possessing a minimum of a masters degree in an operations research, mathematics, statistics, economics, engineering or computer science field, plus ten years of related work experience, or a PhD in an operations research, mathematics, statistics, economics, engineering or computer science field, plus five years of related work experience.

*Senior Technical Contributor (Analytic)* - possessing a minimum of a masters degree in an operations research, mathematics, statistics, economics, engineering or computer science field, plus ten years of related work experience, or a PhD in an operations research, mathematics, statistics, economics, engineering or computer science field, plus five years of related work experience.

*Senior Technical Contributor (Data Collection Operations)* - possessing a minimum of a bachelors degree in a behavioral science field, plus ten years related work experience, or a masters in a behavioral science field, plus five years of related work experience.

*Mid-range Technical Contributor (Behavioral)* - possessing a minimum of a bachelors degree in a behavioral science field, plus seven years of related work experience, or a masters in a behavioral science field, plus three years of related work experience.

*Mid-range Technical Contributor (Analytic)* - possessing a minimum of a bachelors degree in an operations research, mathematics, statistics, economics, engineering or computer science field, plus seven years of related work experience, or a masters in an operations research, mathematics, statistics, economics, engineering or computer science field, plus three years of related work experience.

*Mid-range Technical Contributor (Data Collection Operations)* - possessing a minimum of an associates degree in a behavioral science field, plus seven years of related work experience, or a bachelors in a behavioral science field, plus three years of related work experience.

*Entry-level Technical Contributor (Behavioral)* - possessing a minimum of a bachelors degree in a behavioral science field.

*Entry-level Technical Contributor (Analytic)* - possessing a minimum of a bachelors degree in an operations research, mathematics, statistics, economics, engineering or computer science field.

*Entry-level Technical Contributor (Data Collection Operations)* - possessing a minimum of an associates degree in a behavioral science field, or three years of related work experience.

*Data Collection Technician* - possessing the equivalent of a high school diploma proficiency in verbal and quantitative skills and 400 hours of training and/or experience in appropriate data collection techniques.

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<u>Item No.</u>	<u>Labor Category</u>	<u>Blended<sup>1</sup> Loaded Hourly Rate</u>
0003AA	Program Manager	93.04
	Expert Technical Contributor	147.22
0003AB	Task Leader/Principal Investigator (Behavioral)	91.36
0003AC	Task Leader/Principal Investigator (Analytic)	96.74
0003AD	Task Leader/Principal Investigator (Data Collection Operations)	88.71

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<sup>1</sup> This rate is a weighted average across HumRRO and its subcontractors. It should be used for rough estimation purposes only. Approved hourly rates specific to each contractor organization should be used for formal costing activities. This may be obtained from the HumRRO Program Manager or from the contractors' respective contracting offices.

0003AE	Senior Technical Contributor (Behavioral)	70.58
0003AF	Senior Technical Contributor (Analytic)	71.78
0003AG	Senior Technical Contributor (Data Collection Operations)	55.71
0003AH	Mid-range Technical Contributor (Behavioral)	48.96
0003AJ	Mid-range Technical Contributor (Analytic)	53.65
0003AK	Mid-range Technical Contributor (Data Collection Operations)	36.07
0003AL	Entry-level Technical Contributor (Behavioral)	32.99
0003AM	Entry-level Technical Contributor (Analytic)	33.18
0003AN	Entry-Level Technical Contributor (Data Collection Operations)	29.23
0003AP	Data Collection Technicians	15.37
0003AQ	Clerical	32.69

**APPENDIX F**  
**SAMPLE DELIVERY ORDER AWARD**



**ORDER FOR SUPPLIES OR SERVICES**

(Contractor must submit four copies of invoice.)

Form Approved  
OMB No. 0704-0187  
Expires Aug 31, 1992

PAGE 1 OF 1

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0187), Washington, DC 20503. Please DO NOT RETURN your form to these addresses. Send your completed form to the procurement official identified in item 6.

1. CONTRACT / PURCH ORDER NO MDA903-93-D-0032		2. DELIVERY ORDER NO. 0021		3. DATE OF ORDER 06/28/94		4. REQUISITION / PURCH REQUEST NO. W73QQB-4152-4603		5. PRIORITY	
6. ISSUED BY DEFENSE SUPPLY SERVICE - WASHINGTON 5200 ARMY PENTAGON WASHINGTON, DC 20310-5200 VICKI A. LIEDEL VAL (703) 614-4577				7. ADMINISTERED BY (If other than 6) DCMAO BALTIMORE ATTN: CHESAPEAKE 200 TOWSONTOWN BLVD., WEST TOWSON, MD 21204-5299		8. DELIVERY <input checked="" type="checkbox"/> DEST <input type="checkbox"/> OTHER (See Schedule)			
9. CONTRACTOR Vendor Id: 00002661 NAME AND ADDRESS HumRRO 66 CANAL CENTER PLAZA SUITE 400 ALEXANDRIA VA 22314				10. DELIVER TO FOB POINT BY (Date) 06/27/95		11. MARK IF BUSINES: <input type="checkbox"/> SMALL <input type="checkbox"/> SMALL DIS VANTAGE <input type="checkbox"/> WOMEN-0			
12. DISCOUNT TERMS 0% 00 Days Net 030				13. MAIL INVOICES TO See Block 15					
14. SHIP TO ARMY RESEARCH INSTITUTE AMC BLDG ROOM 6E14 5001 EISENHOWER AVE ALEXANDRIA, VIRGINIA 22333-5600				15. PAYMENT WILL BE MADE BY DFAS COLUMBUS CENTER ATTN: CHESAPEAKE DIV P. O. BOX 182264 COLUMBUS, OH 43218-2264		MARKAL PACKAGES PAPERS & CONTRAC ORDER NO.			
16. TYPE OF ORDER DELIVERY <input checked="" type="checkbox"/> PURCHASE <input type="checkbox"/>		This delivery order is issued on another Government agency or in accordance with and subject to terms and conditions of above numbered contract. Reference your ACCEPTANCE. THE CONTRACTOR HEREBY ACCEPTS THE OFFER REPRESENTED BY THE NUMBERED PURCHASE ORDER AS IT MAY PREVIOUSLY HAVE BEEN OR IS NOW MODIFIED. SUBJECT TO ALL OF THE TERMS AND CONDITIONS SET FORTH, AND AGREES TO PERFORM THE SAME.							
NAME OF CONTRACTOR		SIGNATURE		TYPED NAME AND TITLE		DATE SIGNED			
If this box is marked, supplier must sign Acceptance and return the following number of copies:									
17. ACCOUNTING AND APPROPRIATION DATA / LOCAL USE AA 2142040 422-4000 P665803-2584 S18001 87587484 19 1131 879100 Award Oblig Amt US\$ 68,500									
18. ITEM NO.	19. SCHEDULE OF SUPPLIES / SERVICE	20. QUANTITY ORDERED / ACCEPTED*	21. UNIT	22. UNIT PRICE	23. AMOUNT				
0002	Manpower and Personnel Research and Studies (COMPRS) (Delivery Order Pool)	1.00	LT	NSP	NSP				
0002AA	"Longitudinal Research on Officer Careers (LROC)"	1.00	LT	NSP	NSP				
0002AB	Monthly Reports (FY94)	3.00	EA	15000.000000	45				
*If quantity accepted by the Government is same as quantity ordered, indicate by X. If different, enter actual quantity accepted below quantity ordered and encircle.		24. UNITED STATES OF AMERICA BY: HARRY W. SHATTO, JR. hws		25. TOTAL \$ 226		26. DIFFERENCES			
28. QUANTITY IN COLUMN 20 HAS BEEN <input type="checkbox"/> INSPECTED <input type="checkbox"/> RECEIVED <input type="checkbox"/> ACCEPTED, AND CONFORMS TO THE CONTRACT EXCEPT AS NOTED		27. SHIP. NO.		28. D.O. VOUCHER NO.		30. INITIALS			
DATE SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE		<input type="checkbox"/> PARTIAL <input type="checkbox"/> FINAL		32. PAID BY		33. AMOUNT VERIFIED CORRECT			
36. I certify this account is correct and proper for payment. DATE SIGNATURE AND TITLE OF CERTIFYING OFFICER		31. PAYMENT <input type="checkbox"/> COMPLETE <input type="checkbox"/> PARTIAL <input type="checkbox"/> FINAL				34. CHECK NUMBER			
						35. BILL OF LADING NO.			
37. RECEIVED AT	38. RECEIVED BY	39. DATE RECEIVED	40. TOT. CONTAINERS	41. S/R ACCOUNT NUMBER	42. S/R VOUCHER NO.				

HumRRO

ITEM NO.	SCHEDULE OF SUPPLIES/SERVICE	QUANTITY	U/I	UNIT PRICE	AMOUNT
0002AC	Research Plan	1.00	EA	12000.000000	12000.00
0002AD	Monthly Reports (FY95)	7.00	EA	15000.000000	105000.00
0002AE	Draft Technical Report	1.00	EA	30000.000000	30000.00
0002AF	Final Technical Report	1.00	EA	34982.000000	34982.00

## 1. TERM OF DELIVERY ORDER

The term of this delivery order is from 28 June 1994 through 27 June 1995.

## 2. DELIVERY SCHEDULE

ITEM NO.	DESCRIPTION	DATE (on or before)
0002AB	Monthly Reports (FY94)	15 days after month being reported on
0002AC	Research Plan	Within 5 days after planning meeting
0002AD	Monthly Reports (FY95)	15 days after month being reported on
0002AE	Draft Technical Report	30 APR 95
0002AF	Final Technical Report	30 JUN 95

## 3. The Delivery Order Contracting Officer's Representative (DO-COR) is designated as:

Dr. Guy Siebold  
US ARI (PERI-RP)

HUMRRO

5001 Eisenhower Avenue  
Alexandria, VA 22333-5600  
Telephone: (703) 274-9708

4. Add the following clause: LIMITATION OF GOVERNMENT'S OBLIGATION  
DFAR 52.232-7007 (AUG 1993)

Of the total price of all CLINs, the sum of \$68,500 is presently available for payment and allotted to this Delivery order. The parties contemplate that the Government will allot funds to this delivery order in accordance with the following schedule:

FY95 - \$209,048

5. The Statement of Task is hereby incorporated as part of this Delivery Order.

---NOTHING FOLLOWS---

## APPENDIX G

### DO CONTRACT CLAUSES INCORPORATED FROM MASTER CONTRACT

All DO clauses shall, with respect to the rights, duties and obligations of HumRRO and its subcontractors, be interpreted and construed in such manner as to recognize and give effect to the contractual relationship between HumRRO and the subcontractors under this contract and the rights of the U.S. Government with respect thereto under the Master Contract from which such clauses are derived. As used in relation to subcontracts associated with individual DOs, the term "the Contractor" and equivalent terms shall mean the Subcontractor and the terms "the Government" and "the Contracting Officer" and equivalent terms shall mean HumRRO and the HumRRO PM, respectively, except under those clauses relating to the rights to audit or examine the subcontractor's financial records, and all other clauses noted with an asterisk (\*), in which case the terms "the Government" and "the Contracting Officer" shall mean the US Government and the Contracting Officer under the Prime Contract, respectively (got that?).

#### General Provisions

The General Provisions from the Federal Acquisition Regulations (FAR) which are included in this appendix, and as in effect on the date of the award of the COMPRS Master Contract (except as required to be changed by statute), are incorporated in DO contracts and subcontracts by reference with the same force and effect as if they were given in full text.

## GENERAL PROVISIONS

### 1-1. Clauses Incorporated by Reference (Jun 1988) FAR 52.252-2

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text.

### I. FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1) CLAUSES

<u>Title</u>	<u>Date</u>	<u>Reference</u>
Definitions	SEP 1991	52.202-01
Officials Not to Benefit	APR 1984	52.203-01
Gratuities	APR 1984	52.203-03
Covenant Against Contingent Fees	APR 1984	52.203-05
Restrictions on Subcontractor Sales to the Government	JUL 1985	52.203-06
Anti-Kickback Procedures	OCT 1988	52.203-07
Requirement for Certificate of Procurement Integrity - Modification	NOV 1990	52.203-09
Price of Fee Adjustment for Illegal or Improper Activity	SEP 1990	52.203-10
Limitations on Payments to Influence Certain Federal Transactions	JAN 1990	52.203-12
Protecting the Government's Interest When Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment	JUN 1991	52.209-06
Stop-Work Order	AUG 1989	52.212-13
* Examination of Records by Comptroller General	APR 1984	52.215-01
* Audit - Negotiation	DEC 1989	52.215-02
Price Reduction for Defective Cost or Pricing Data	JAN 1991	52.215-22
Subcontractor Cost or Pricing Data	DEC 1991	52.215-24
Facilities Capital Cost of Money	SEP 1987	52.215-30
Waiver of Facilities Capital Cost of Money	SEP 1987	52.215-31
Order of Precedence	JAN 1986	52.215-33

<u>Title</u>	<u>Date</u>	<u>Reference</u>
Reversion or Adjustment of Plans for Postretirement Benefits Other than Pensions (PRB)	JUL 1991	52.215-39
Ordering	APR 1984	52.216-18
Indefinite Quantity	APR 1984	52.216-22
Option to Extend the Term of the Contract	MAR 1989	52.217-09
Utilization of Small Business Concerns and Small Disadvantaged Business Concerns	FEB 1990	52.219-08
Small Business and Small Disadvantaged Business Subcontracting Plan	JAN 1991	52.219-09
Utilization of Women-Owned Small Business	AUG 1986	52.219-13
Liquidated Damages - Small Business Subcontracting Plan	AUG 1989	52.219-16
Reference for Labor Surplus Area Concerns	APR 1984	52.220-01
Utilization of Labor Surplus Area Concerns	APR 1984	52.220-03
Labor Surplus Area Subcontracting Program	APR 1984	52.220-04
Convict Labor	APR 1984	52.222-03
Notification of Employee Rights Concerning Payment of Union Dues or Fees	MAY 1992	52.222-18
Equal Opportunity	APR 1984	52.222-26
Equal Opportunity Preaward Clearance of Subcontracts	APR 1984	52.222-28
Affirmative Action for Special Disabled and Vietnam Era Veterans	APR 1984	52.222-35
Affirmative Action for Handicapped Workers	APR 1984	52.222-36
Clean Air and Water	APR 1984	52.223-02
Drug-Free Workplace	JUL 1990	52.223-06
Privacy Act Notification	APR 1984	52.224-01
Privacy Act	APR 1984	52.224-02

<u>Title</u>	<u>Date</u>	<u>Reference</u>
Restrictions on Contracting with Certain Foreign Purchases	MAY 1992	52.225-11
Authorization and Consent-Alternate I	APR 1984	52.227-01
Notice and Assistance Regarding Patent and Copyright Infringement	APR 1984	52.227-02
Insurance-Immunity From Tort Liability	APR 1984	52.228-06
Insurance-Liability to Third Persons	APR 1984	52.228-07
Federal, State, and Local Taxes	JAN 1991	52.229-03
Taxes-Contracts Performed in U.S. Possessions or Puerto Rico	APR 1984	52.229-05
Payments	APR 1984	52.232-01
Discounts for Prompt Payment	APR 1989	52.232-08
Limitation on Withholding of Payments	APR 1984	52.232-09
Extras	APR 1984	52.232-11
Interest	JAN 1991	52.232-17
Limitation of Funds	APR 1984	52.232-22
Assignment of Claims	JAN 1986	52.232-23
Prompt Payment	APR 1989	52.232-25
Disputes - Alternate I	DEC 1991	52.233-01
Protest After Award - Alternate I	AUG 1989	52.233-03
Protection of Government Buildings, Equipment, and Vegetation	APR 1984	52.237-02
Changes - Fixed Price - Alternate V	APR 1984	52.243-01
Notification of Changes	APR 1984	52.243-07
Subcontracts (Fixed Price)	APR 1985	52.244-01
Competition in Subcontracting	APR 1984	52.244-05
Government Property (Fixed Price Contracts)	DEC 1989	52-245-02
Inspection of Services - Fixed Price	APR 1984	52.246-04
Limitation of Liability - Services	APR 1984	52.246-25
F.O.B. Destination	JAN 1991	52.247-34
Termination (Fixed Price)	MAY 1986	52.249-02
Causes Incorporated by Reference	JUN 1988	52.252-02
Computer Generated Forms	JAN 1991	52.253-01

## II. DOD FEDERAL ACQUISITION REGULATION SUPPLEMENT (48 CFR CHAPTER 1) CLAUSES

<u>Title</u>	<u>Date</u>	<u>Reference</u>
Statutory Prohibition on Compensation to Former Department of Defense Employees	DEC 1991	252.203-7000
Special Prohibition of Employment	DEC 1991	252.203-7001
Control of Government Personnel Work Product	APR 1992	252.204-7003
Acquisitions From Defense Contracts Subject to On-Site Inspection Under the Intermediate-Range Nuclear Forces (INF) Treaty	DEC 1991	252.209-7000
Pricing Adjustment	DEC 1991	252.215-7000
* Cost Estimating Systems Requirements	DEC 1991	252.215-7002
Small Business and Small Disadvantaged Business Subcontracting Plan (DOD Contracts)	DEC 1991	252.219-7003
Rights in Technical Data and Computer Software	OCT 1988	252.227-7013
Restrictive Markings on Technical Data	OCT 1988	252.227-7018
Identification of Technical Data	APR 1988	252.227-7029
Technical Data-Withholding of Payment	OCT 1988	252.227-7030
Data Requirements	OCT 1988	252.227-7031
Validation of Restrictive Markings on Technical Data	APR 1988	252.227-7037
Supplemental Cost Principles	APR 1991	252.231-7000

### Additional Provisions

Other *selected* provisions of the Master Contract that are incorporated into DO contracts and subcontracts are described in the remainder of this appendix. The following provisions are included:

- Key personnel
- Insurance schedule
- Resolution of disputes
- Royalty-free license



- Deliverables
- Information release
- All items to become property of the Government
- Use of human subjects

A copy of the Master Contract which includes all of the provisions can be obtained from the HumRRO PM.

Key Personnel. The personnel who are named to work on a specific delivery order are considered to be essential to the work being performed in that delivery order. No variation of key personnel shall be made without the written consent of the Government (or in the case of subcontracts, the HumRRO Contracts Office). If a change in key personnel becomes necessary, you must provide a detailed explanation of the circumstances necessitating substitution, and demonstrate that the qualifications of the prospective personnel are equal to or better than the qualifications of the personnel being replaced.

Insurance Schedule. The types of insurance and coverage listed below will be maintained by HumRRO and each subcontractor:

<u>Type of Insurance</u>	<u>Minimum Amount</u>
Worker's Compensation and all occupational disease	As required by State Law
Employer's Liability including all occupational disease when not so covered in Worker's Compensation above	\$100,000 per accident
General Liability (Comprehensive) Bodily injury per occurrence	\$500,000
Auto Liability (Comprehensive) Bodily Injury per person	\$200,000
Bodily Injury per occurrence	\$500,000
Property Damage per Accident	\$ 20,000

Resolution of Disputes. Any controversy or claim arising out of or relating to this subcontract, or the breach thereof, shall, in the first instance, be the subject of a meeting between the parties to negotiate a resolution of such dispute. If within fifteen days after the meeting the parties have not succeeded in negotiating a resolution, the parties agree

to submit the dispute to arbitration in accordance with the Commercial Arbitration Rules of the American Arbitration Association, and judgment upon the award rendered by the arbitrator(s) may be entered in any court having jurisdiction thereof.

Royalty-Free License. In consideration of the sum to be paid to the Contractor under this contract, the Contractor hereby agrees and does grant, convey, and reserves to the United States of America a nonexclusive, irrevocable, world wide, royalty-free license in all written material, published, printed, presented or used in connection with the contract, in which the Contractor presently holds a copyright or in the future shall obtain a copyright therein or in which he has the right to issue royalty-free licenses thereto.

Deliverables. Any deliverables/reports required will be specified in the modification that awards the individual delivery order. The following are requirements for reports in general:

- A. All reports/deliverables will be subject to the approval of the HumRRO PM. Acceptance by the Government in this Article shall be deemed to be acceptance by HumRRO's PM.
- B. All reports resulting from this study shall cite ARI support (including contract and delivery order number) and must carry the following disclaimer:

"The views, opinions, and/or findings contained in this report (paper) are those of the author(s) and should not be construed as an official Department of the Army position, policy, or decision, unless so designated by other official documentation."
- C. The Contractor shall not publish or distribute instruments, data, or findings from this contract research without prior review and approval of the Government. All papers, reports, professional or lay publications, and presentations at meetings and conventions must be sent to the Government for review and approval. The Contractor should be aware that review by the Government normally requires 4-6 weeks.
- D. Reports will be prepared in accordance with ARI contract report guidelines. ARI Regulation 70-3 (available from the HumRRO PM or ARI), "Guidelines for the Submission of Manuscripts for Publication and Other Scientific and Technical Documents," identifies the Publication Manual of the American Psychological Association, Third Edition, as the basic format for all ARI reports. Reports shall be delivered by the Contractor with a completed SF 298, Report Documentation Page. In order to facilitate later editing of each document by the Government, the DO Director shall deliver to the HumRRO PM one copy of each final report or document on diskette in MS-DOS based WordPerfect (version 5.1 or other COR approved version) format from which the manuscript was printed and which

is free of all extraneous codes such as embedded hard-returns at the end of each line. The DO Director shall also deliver one camera-ready copy of all figures, tables, or other art work used in the final document, and one copy of the negative and/or computer file, as appropriate, for each graphic image.

E. The following certificate shall accompany all technical data:

Certification of Technical Data Conformity (May 1987)  
DFARS 252.227-7036

(a) All technical data delivered under this contract shall be accompanied by the following written certification:

The Contractor, \_\_\_\_\_, hereby certifies that, to the best of its knowledge and belief, the technical data delivered herewith under Contract No. MDA903-93-D-0032 is complete, accurate, and complies with all requirements of the contract.

Date \_\_\_\_\_

Name/Title of Certifying Official \_\_\_\_\_

This written certification shall be dated and the certifying official (identified by name and title) shall be duly authorized to bind the Contractor by the certification.

(b) The Contractor shall identify, by name and title, each individual (official) authorized by the Contractor to certify in writing that the technical data is complete, accurate, and complies with all requirements of the contract. The Subcontractor hereby authorizes direct contact with the authorized individual responsible for certification of technical data. The authorized individual shall be familiar with the Contractor's technical data conformity procedures and their application to the technical data to be certified and delivered.

(c) Technical data delivered under this contract may be subject to reviews by the Government during preparation and prior to acceptance. Technical data is also subject to reviews by the Government subsequent to acceptance. Such reviews may be conducted as a function ancillary to other reviews, such as in-process reviews or configuration audit reviews.

Information Release. The Contractor agrees not to release any technical or proprietary information regarding performance under this Contract without obtaining written permission from the HumRRO PM to do so. Restrictions in this Article do not

apply to identification of this contract and the work performed by subcontractors hereunder in proposals or bids submitted by subcontractor to any Government agency or commercial organization.

All Items To Become Property Of The Government. Title to all source data and materials furnished by the Government, together with all plans, design specifications, drawings, completed programs and documentation thereof, reports and services performed under orders pursuant to this contract, including any copyright shall become and remain with the Government upon completion. The Government shall have access to and the right to make copies of the above mentioned items. All proprietary programs shall be indicated as such in the individual Requests for Delivery Order.

Use of Human Subjects.

1. The following are used in this clause:

(A) Definition

(1) Risk: For the purpose of these regulations, unusual and potentially hazardous conditions are those which may be reasonably expected to involve the risk, beyond the normal call of duty, or privation, discomfort, distress, pain, damage to health, bodily harm, physical injury, or death.

(2) Exemptions: The following categories of activities and investigative programs are exempt from the provisions of these regulations:

(a) Research and nonresearch programs, tasks and tests which may involve inherent occupational hazards to health or exposure of personnel to potentially hazardous situations encountered as part of training or other normal duties, e.g.; flight training, jump training, marksmanship training, ranger training, fire drills, gas drills, and handling of explosives.

(b) That portion of human factors research which involves normal training or other military duties as part of an experiment, wherein disclosure of experimental conditions to participating personnel would reveal the special nature of such conditions and defeat the purpose of the investigation.

(B) Human Subject. Human subjects are those volunteer participants in an effort, the whole or partial object of the effort of which is measuring changes in their physiological, sociological or psychological behavior.

2. All human subjects in ARI efforts who are put at risk by participation in an

Army Research Development Testing and Evaluation (RDTE) effort shall be volunteers who are informed in advance of the risk involved.

3. The Subcontractor shall comply with the following minimum conditions for any portion of the research effort in which human subjects participate and are put at risk:

(A) The proposed effort has been reviewed and approved by a committee meeting requirements set forth in Chapter 46 of Title 45 of the Code of Federal Regulations.

(B) The number of human subjects used will be kept to the minimum number which will reasonably achieve the required results.

(C) The effort must be such as to contribute significantly to a field of knowledge and have reasonable prospects of yielding important results which are not obtainable by other methods or means.

(D) The effort will be conducted only by persons possessing requisite scientific qualifications.

(E) Human subjects will be informed that at any time during the course of participation they have the right to revoke their consent and withdraw from further participation without prejudice to themselves.

(F) Participation by subjects will be immediately terminated if it subsequently appears that the risk to the subjects is significantly greater than anticipated at the time review and approval was granted.

(G) There shall be no greater intrusion into the privacy of the human subject than is absolutely necessary for the conduct of the effort involved. Except for the submission of reports and other data required by this contract, any information obtained about human subjects as a result of participation shall be held as confidential as the law allows.

(H) The degree of risk to be taken will never exceed that which is justified by the benefits to the subjects, importance of the Army RDTE programs, or significance of the scientific knowledge to be gained.

(I) Proper preparations will be made, and adequate facilities provided, to protect the subject against all foreseeable possibilities of injury, disability, or death, discomfort, suffering or injury.

(J) Human subjects will not be used who have physical or mental conditions which will make participation more hazardous for them than it would be for

normal healthy persons, unless such condition is a necessary prerequisite for the research involved. In any such case, the use of human subjects with such pre-existing conditions must have been specifically described and justified in the scope of the work to be performed under this contract.

(K) The scientifically qualified person conducting the research, and each member of the research team, shall terminate the subject's participation at any stage if he has reason to believe, in the exercise of good faith, superior skill, and careful judgment required of him, that continuation is likely to result in injury, disability, or death to the human subject.

4. In each portion of a research effort in which human subjects are put at risk, and in such others as the ARI scientist supervising the effort may direct, the Subcontractor shall insure that the following conditions for voluntary consent are met, before permitting any person to participate as a human subject:

(A) Legally effective informed consent will be obtained by adequate and appropriate methods in accordance with the provisions of this clause.

(B) All consent must be voluntary knowing consent of the individual or his legally authorized representative, so situated as to be able to exercise free power of choice without any use of force, fraud, deceit, duress, constraint, coercion, or unlawful or improper inducement. The elements of information necessary to such consent includes:

(1) A fair explanation of the procedures to be followed, and their purpose, including identification of any procedures which are experimental;

(2) A description of any attendant discomfort or risk reasonably to be anticipated;

(3) A description of any benefits reasonably to be anticipated;

(4) A disclosure of any appropriate alternative procedures that might be advantageous to the subject;

(5) An offer to answer any questions concerning the procedures;

(6) An instruction that subject is free to revoke his consent and to discontinue participation at any time without prejudice.

(C) Exculpatory language through which the subjects are made to waive, or appear to waive, any of their legal rights, including any release from liability for negligence, is prohibited.

(D) Consent by subjects or their legally authorized representative shall be obtained in writing whenever it is reasonably possible to do so. The consent form may be read to subjects or their legally authorized representative, but, in any event, they or their legally authorized representative, must be given adequate opportunity to read it and to ask any questions they might have. This consent form should then be signed by the subjects or their legally authorized representative and by a witness not directly involved in the study. Oral consent may be used only when it has been specifically described and justified in the scope of the work to be performed under this contract or approved in writing by the contracting officer. When so authorized and used, oral consent is subject to all the same standards as apply to written consent, except that the signature of the subjects or their legally authorized representative is not required.

5. Prisoners of war will not be used under any circumstances.

6. Provisions should normally be made for a post-study debriefing of subjects. Such provisions recognize an ethical obligation to insure that subjects remain well informed as to all aspects of their participation, and minimize the chances that subjects might terminate their participation with misunderstandings as to the nature of their participation or the results obtained. Such debriefing should be considered mandatory wherever an exception has been granted for the experimental design to contain some element of deception.

**APPENDIX H**

**SAMPLE MONTHLY REPORT DELIVERABLE PACKAGE**



July 24, 1995

Dr. Ronald Tiggle  
U.S. Army Research Institute  
ATTN: PERI-RG  
5001 Eisenhower Avenue  
Alexandria, VA 22333-5600

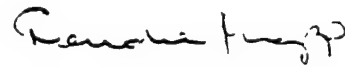
RE: Contract No. MDA903-93-D-0032  
Delivery Order 0015  
HumRRO No. SPR93-10 (COMPRS)  
Monthly Progress Report: June, 1995

Dear Dr. Tiggle:

Enclosed is CLIN No. 0002AB, Monthly Progress Report, which is a deliverable under Delivery Order 0015 for COMPRS.

Please do not hesitate to call on me if you have any questions.

Sincerely,



Dr. Deirdre Knapp  
COMPRS Program Manager

DK/dc  
Enclosures

cc: Dr. David Witter, COMPRS-COR  
ARI Financial Manager  
DSS-W: Ms. Debbie Smith (Letter only)  
Dr. Janice Laurence, HumRRO

## MONTHLY PROGRESS REPORT

Contract No: MDA903-93-D-0032

Manpower and Personnel Research and Studies (COMPRS)

Delivery Order No. 0015

Revisions of the Army Career Transition Survey (ACTS)

Reporting Period: June 1995

### Progress During Reporting Period:

- We conducted principal components analyses on the ACTS satisfaction items and the Leadership Supplement items.
- We began the write up of the recommended administrative procedures on the ACTS.
- We began the write up of the final report on the ACTS.

### Activities in Upcoming Reporting Period

- We will continue to develop the ACTS reports.

### Issues and Problems:

None

# MATERIAL INSPECTION AND RECEIVING REPORT

S93-10

Form Approved  
OMB No. 0704-0148

Public reporting burden for this collection of information is estimated to average 35 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0148), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO EITHER OF THESE ADDRESSES.

1. PROC. INSTRUMENT IDEN (CONTRACT) MDA903-93-D-0032		(ORDER) NO. 0015	6. INVOICE NO./DATE	7. PAGE 1	OF 1	8. ACCEPTANCE POINT D
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2. SHIPMENT NO. HUM0016	3. DATE SHIPPED 7/25/95	4. EA. TON	5. DISCOUNT TERMS 0% 00 Days Net 030
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9. PRIME CONTRACTOR HumRRO 66 Canal Center Plaza Suite 400 Alexandria, VA 22314	CODE 4D519	10. ADMINISTERED BY DCMAO BALTIMORE ATTN: CHESAPEAKE 200 TOWSONTOWN BLVD, WEST TOWSON, MD 21204-5299	CODE S2404A
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11. SHIPPED FROM (if other than 9) See Block 9	CODE W73QQB	12. PAYMENT WILL BE MADE BY DFAS COLUMBUS CENTER ATTN: CHESAPEAKE DIV/DFAS-CO-JNGI PO BOX 182264 COLUMBUS, OH 43218-2264	CODE SC1030
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13. SHIPPED TO ARMY RESEARCH INSTITUTE DR. RONALD TIGGLE 5001 EISENHOWER AVE ALEXANDRIA, VA 22333-5600	CODE W73QQB	14. MARKED FOR DR. RONALD TIGGLE ARMY RESEARCH INSTITUTE 5001 EISENHOWER AVE ALEXANDRIA, VA 22333-5600	CODE W73QQB
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15. ITEM NO.	16. STOCK/PART NO.	DESCRIPTION (Indicate number of shipping containers - type of container - container number.)	17. QUANTITY SHIP/REC'D *	18. UNIT	19. UNIT PRICE	20. AMOUNT
0002 AA		Monthly Progress Report (June)	1.00	ea	NSP	NSP

COPY

21. CONTRACT QUALITY ASSURANCE		22. RECEIVER'S USE	
<p>A. ORIGIN</p> <p><input type="checkbox"/> COA <input type="checkbox"/> ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.</p> <p>DATE _____ SIGNATURE OF AUTH GOVT REP _____</p> <p>TYPED NAME AND OFFICE _____</p>		<p>B. DESTINATION</p> <p><input checked="" type="checkbox"/> COA <input checked="" type="checkbox"/> ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.</p> <p>DATE _____ SIGNATURE OF AUTH GOVT REP _____</p> <p>TYPED NAME AND OFFICE _____</p>	
		<p>DATE RECEIVED _____ SIGNATURE OF AUTH GOVT REP _____</p> <p>TYPED NAME AND OFFICE Dr. Ronald Tiggie COR</p>	

\* If quantity received by the Government is the same as quantity shipped, indicate by (✓) mark, if different, enter actual quantity received below quantity shipped and encircle.

23. CONTRACTOR USE ONLY
-------------------------

## APPENDIX I

### SAMPLE COVER LETTER ACCOMPANYING FINAL PROJECT DELIVERABLE

August 2, 1995

Dr. Clint Walker  
ARI - PERI - RS  
5001 Eisenhower Avenue  
Alexandria, VA 22333-5600

RE: Contract No. MDA903-93-D-0032  
Delivery Order 0025  
HumRRO No. SPR93-10 (COMPRS)

Dear Dr. Walker:

Enclosed is a copy of CLIN NO. 0002AE. Final Report, which is a deliverable under Delivery Order 0025 for COMPRS. Please do not hesitate to call on me if you have any questions.

Sincerely,



Deirdre Knapp  
COMPRS Program Manager

cc: Dr. David Witter, COMPRS-COR  
Dr. Mike Rumsey, ADO-COR  
ARI Financial Manager (ATTN: PERI-MB)  
DSS-W: Ms. D. Smith (Letter Only)

## APPENDIX J

### STANDARD FORM 298 (BLANK AND SAMPLE COMPLETED FORM)

*Note that HumRRO has SF 298 in computer file (WP 5.1) format.*

# REPORT DOCUMENTATION PAGE

Form Approved  
OMB No. 0704-0188

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188), Washington, DC 20503

1. AGENCY USE ONLY (Leave Blank)		2. REPORT DATE		3. REPORT TYPE AND DATES COVERED	
4. TITLE AND SUBTITLE				5. FUNDING NUMBERS	
6. AUTHOR(S)					
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSORING/MONITORING AGENCY REPORT NUMBER	
11. SUPPLEMENTARY NOTES					
12a. DISTRIBUTION/AVAILABILITY STATEMENT				12b. DISTRIBUTION CODE	
13. ABSTRACT (Maximum 200 words)					
14. SUBJECT TERMS				15. NUMBER OF PAGES	
				16. PRICE CODE	
17. SECURITY CLASSIFICATION OF REPORT		18. SECURITY CLASSIFICATION OF THIS PAGE		19. SECURITY CLASSIFICATION OF ABSTRACT	
				20. LIMITATION OF ABSTRACT	

REPORT DOCUMENTATION PAGE			Form Approved OMB No. 0704-0188	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188), Washington, DC 20503				
1. AGENCY USE ONLY (Leave Blank)		2. REPORT DATE 1995, August		3. REPORT TYPE AND DATES COVERED Research Report
4. TITLE AND SUBTITLE Revision of the Army Career Transitions Survey, Final Study Report			5. FUNDING NUMBERS MDA 903-93-D-0032 (DO #0015) PE65803A, D730 1131C20	
6. AUTHOR(S) Giacalone, Robert; Naughton, Jennifer A.; Laurence, Janice H.; and DiFazio, Ani S.				
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Human Resources Research Organization (HumRRO) 66 Canal Center Plaza, Suite 400 Alexandria, Virginia 22314			8. PERFORMING ORGANIZATION REPORT NUMBER FR-WATSD-95-06	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES) U.S. Army Research Institute for the Behavioral and Social Sciences 5001 Eisenhower Avenue Alexandria, VA 22333				
11. SUPPLEMENTARY NOTES Contracting officer's representative, Ronald B. Tiggie				
12a. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release; distribution unlimited.			12b. DISTRIBUTION CODE	
13. ABSTRACT (Maximum 200 words) From 1990-1995, the U.S. Army Research Institute (ARI) administered an experimental exit survey to separating soldiers. This instrument was known as the Army Career Transitions Survey (ACTS). The ACTS was designed for use among separating Active Duty Army personnel to measure: satisfaction levels, perceptions of Army leadership, advice for potential recruits, and the reasons for leaving the Army. The Human Resources Research Organization (HumRRO) was awarded a contract to develop standardized administration procedures and to review and revise the items on the ACTS. To meet the goals of this research, the approach primarily involved: gathering information through semi-structured interviews with pertinent commands and transition site personnel; reviewing the literature on leadership; pilot testing the revised survey instrument; and analyzing the results. Each of these efforts is addressed individually in this report.				
14. SUBJECT TERMS Army career transitions survey Leadership Exit survey			15. NUMBER OF PAGES 70 16. PRICE CODE	
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